INSTITUTIONAL EVALUATION PROCESS for BRITISH COLUMBIA COLLEGES AND INSTITUTES

Policies and Procedures Manual

British Columbia Council of
College and Institute Principals

Centre for
Curriculum
and
Professional
Development

Province of British Columbia
Ministry of Advanced
Education and Job Training, and
Ministry Responsible for
Science and Technology

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Prepared for the
British Columbia Council of
College and Institute Principals
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INSTITUTIONAL EVALUATION PROCESS

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A great many people in the colleges and post-secondary institutes in British Columbia contributed over the past few years to the development of the Institutional Evaluation Process described in this manual. The B.C. Council of Principals acknowledges with thanks the assistance of the B.C. Ministry of Advanced Education and Job Training and the B.C. Association of Colleges.

Special recognition is due to the members of the B.C. Council of Principals' Institutional Evaluation Steering committee over the years who have given much time and thought to developing a truly useful system of evaluation, and to members of Self-Study Steering Committees, particularly the self-study coordinators, in the colleges and institutes who have generously shared their experiences and perceptions.

The result is an Institutional Evaluation Process created by and for the colleges and post-secondary institutes in British Columbia.

Kathleen M. Bigsby, editor

INSTITUTIONAL EVALUATION PROCESS
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BRITISH COLUMBIA COLLEGES AND INSTITUTES

AN OVERVIEW OF
INSTITUTIONAL EVALUATION IN BRITISH COLUMBIA COLLEGES AND INSTITUTES

INSTITUTIONAL EVALUATION PROCESS

for

BRITISH COLUMBIA COLLEGES AND INSTITUTES

AN OVERVIEW OF

INSTITUTIONAL EVALUATION IN BRITISH COLUMBIA

COLLEGES AND INSTITUTES

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AN OVERVIEW OF

INSTITUTIONAL EVALUATION IN BRITISH COLUMBIA

COLLEGES AND INSTITUTES

INTRODUCTION

The Institutional Evaluation process in each college and provincial institute in British Columbia is conducted as a project of the B.C. Council of College and Institute Principals undertaken for the improvement of the institution. In this project the Council works in cooperation with, and receives financial support from, the Ministry of Education. It has the endorsement of the British Columbia Association of Colleges.

Institutional evaluation in British Columbia benefits from the participation of personnel from British Columbia universities and from Alberta and Washington colleges and institutes who serve on the external audit teams along with faculty and staff from British Columbia colleges and institutes and representatives of industry and the community.

The institutional evaluation process in B.C. colleges and institutes is coordinated by the Institutional Evaluation Officer, an employee of the Council of Principals.

Institutional Evaluation is intended to be an activity of all institutions functioning under the College and Institute Act and the Institute of Technology Act. Each B.C. college and institute has conducted an institutional self-study and been externally audited; several have been through the process twice.

DEFINITION AND PURPOSE

Institutional evaluation is defined as that set of planned, information-gathering and analysis activities undertaken to provide the institution with an honest self-appraisal and a basis for future direction.

Evaluation is an internally motivated, ongoing process of critical self-examination, objectively and perceptively conducted throughout the institution.

The primary purpose of institutional evaluation in British Columbia is institutional improvement and renewal within existing institutional resources.

Evaluation is undertaken in the context of the public accountability and overall mission, goals and objectives of public post-secondary institutions in British Columbia.

A firm plan for implementing the recommendations produced by the evaluation is an integral part of the process.

WHY HAVE AN INSTITUTIONAL EVALUATION PROCESS?

The principals of British Columbia colleges and institutes have recognized for some time the need for a renewal process in their institutions. This recognition has been reflected in public statements and Council of Principals' resolutions. They realize that their commitment to the maintenance of high standards in all areas of institutional operation requires a coordinated, rigorous, public institutional evaluation process. The principals recognize also that the public and the government are entitled to documented assurance that colleges and institutes are achieving public objectives and that public money is being used responsibly to assist adults to meet continually changing individual, economic, and social needs.

At each institution instructional program and support function reviews, the self-study report and the report of the external audit team are sources of reliable information regarding the quality of an institution's programs, management and services. This information is available to groups such as employers, interested external bodies, governmental agencies, universities, prospective students, and the general public.

DEVELOPMENT OF INSTITUTIONAL EVALUATION IN B.C.

In British Columbia, evaluation processes have been developing since the first non-university, post-secondary institutions came into existence. Prior to the Council of Principals' adoption of the first formal institutional evaluation process in 1976, several noteworthy review mechanisms had been employed.

In its earliest stages, evaluation took the form of annual visits from Ministry of Education staff to what were then wholly government-run vocational schools.

In 1963, the Universities Act addressed the question of academic standards in the emerging colleges by authorizing the Academic Board "to collect, examine, and provide information relating to academic standards,and to advise the appropriate authorities on orderly academic development of universities ..... and of colleges by keeping in review the academic standards of each ..." The Board interpreted its role to be one of assisting colleges to maintain good academic standards and to do this, it obtained progress reports from, and made periodic visits to the colleges.

Although there was not a formal accreditation of colleges, the Board commented upon the adequacy of college facilities and learning resources and made recommendations for improvement.

As the colleges became comprehensive institutions with the expansion of career programs and melding with vocational schools, they were introduced to program review and accreditation by external agencies. The reviews by the Academic Board became less an institutional evaluation and more an assessment of only one segment of the institution's operations - it's academic, university level programs. Even hese disappeared in 1974 for the Academic Board was eliminated in the new University Act.

The colleges felt they needed for a mechanism for evaluation of the whole institution. Many B.C. colleges at that time were participating actively in meetings of the Northwest Association of Community and Technical Colleges and the Northwest Association of Schools and Colleges. The latter Association maintains a Commission on Colleges which provides accreditation services for colleges and universities in the northwestern United States. Accreditation and items related to institutional evaluation were part of both formal and informal discussions.

In the fall of 1974, the Northwest Association invited B.C. college principals to join visiting teams evaluating colleges in Washington and Oregon. Some participated and returned convinced of the merits of the kind of institutional evaluations conducted in the northwestern states.

A committee of B.C. principals, in co-operation with then Ministry of Education staff, studied the possibility of establishing a consortium of institutions in western Canada to duplicate the U.S. procedure. Institutional evaluation without accreditation was of some interest to Alberta, but a low priority for Saskatchewan and Manitoba with their fledgling college systems. Further discussions with Alberta college presidents led to an agreement that Alberta would assist B.C. in evaluation of its institutions and would consider reciprocal arrangements in the future. The B.C. Council of College and Institute Principals decided the Alberta offer, along with an agreement on the part of local universities to lend support, warranted a trial run.

Borrowing the basic format and many of the materials from the Northwest Association of Schools and Colleges' Accreditation Handbook, the first evaluation was undertaken in 1976 at Camosun College in Victoria. It proved sufficiently successful to justify adoption of the process for province-wide use.

The Northwest Association guidelines were modified somewhat for use in British Columbia colleges and institutes since the institutional evaluation process in B.C. was intended for institutional improvement and renewal rather than for accreditation as in the United States.

Some changes were also required so the guidelines reflected the structure and goals of B.C. institutions. With these modifications, the "Northwest model" was used in British Columbia institutions between 1976 and 1983. We are grateful to the Northwest Association of Schools and Colleges for its generosity and assistance.

In 1977 a new College and Institute Act was passed. In it, Section 66 required every institution governed by the Act to

> "....by March 31, 1982, and by the end of each subsequent five year period, report to the minister setting out the reasons, if any, why the corporation should continue to exist and, on receipt of this report, the minister shall advise the Lieutenant Governor in Council about the measures that should be taken to remedy or improve the situation disclosed by the report."

It was widely felt that the Institutional Evaluation process provided a credible method for meeting in part the accountability and self-renewal requirements of this section of the Act, popularly referred to as the "sunset clause". This view was substantiated in December, 1981 correspondence from the Assistant Deputy-Minister, Post-secondary, asking each institution to provide a statement outlining the current status of its Institutional Evaluation as part of its Section 66 report.

By the end of 1982, thirteen colleges and institutes had completed an Institutional Evaluation, and evaluations were in progress at two more. In addition to the Institutional Evaluation process, several of the institutions had developed their own processes to monitor on a continuing basis the quality and relevance of their instructional programs. Activities of the Provincial Councils and the Ministry of Education were directed to monitoring the performance not only of the individual institutions, but also of the entire system. All institutions had begun formal institutional planning which required forms of review and assessment. Evaluation was now well established in British Columbia colleges and institutes.

DECISION TO CHANGE

Early in 1983, the Institutional Evaluation Steering Committee began careful review of the institutional evaluation process then in place prompted by an examination of Institutional evaluation experience to that time, and by changing conditions in the B.C. college and institute system. These changing conditions included the general consolidation of the system, pressures for external program accreditation, the Ministry's move to formal five-year planning and significant changes in the level of funding for colleges and institutes.

Research on perceptions of the institutional evaluation process conducted among principals of B.C. colleges and institutes early in 1982 had underlined their commitment to an evaluation process while pointing out some limitations of the model then in use. Favourable comments such as "People developed increased knowledge about the organization and operation of the college" and "The widespread participation is good for developing commitment and increasing motivation", "the process opens up avenues of communication" and "if done properly, it can have a positive effect on organizational climate", and "the problems and opportunities identified are useful for future planning" were common. * However, this research, and general experience with institutional evaluation, also indicated some problems.

A process which tried to creatively and critically review simulataneously instructional programs, support functions and institution-wide issues was unwieldy. Either the program and function reviews were too general or major institution-wide issues were overlooked as the institution concentrated on specifics. Many people were also concerned by a process they saw as a hiccup of evaluation activity which occurred once every five years and could then be forgotten. Frequently too, the process produced recommendations in a form which was difficult to follow up.

* An analysis of Institutional Evaluation in the British Columbia College and Institute System, Donald K. Dary, University of Victoria, 1982 (unpublished).

What was needed was a process which encouraged both a collective look at the overall functioning of the institution - goals, processes and operating conditions common to all areas and the interrelationships of programs and support functions - and ongoing, in-depth reviews of all instructional programs and support functions which would ensure the relevance of course content and suitability of delivery methods of the former and the adequacy, relative importance and efficiency of the latter.

A mechanism was needed that allowed concentration on the forest while implementing a process for looking carefully at each tree. There was a concomitant need to review the function of an external audit team so it would give maximum benefit to the institution.

The direction of the new process was further influenced by indications that the Ministry of Education would be requiring very specific achievement measures for programs. It was also recognized that having credible program review processes was the most valid way to forestall the potential proliferation of external program accreditation.

CURRENT INSTITUTIONAL EVALUATION PROCESS

In December 1983, the B.C. Council of College and Institute Principals recommended that the colleges and institutes, through the leadership of the Council of Principals' Institutional Evaluation Steering Committee, commit themselves to the implementation of a revised Institutional Evaluation Process. This revised process was developed after careful review of earlier institutional evaluations and discussions with those involved.

This revised institutional evaluation process is more comprehensive, rigorous and coordinated than before, while the purpose -- the renewal and improvement of the institutions -- remains unchanged. This Institutional Evaluation Process has three major elements:

a) ongoing Instructional Program and Support Function Reviews;

b) an Institutional Self-Study Process conducted quinquennially; and

c) an External Audit Process to follow the self-study.

INSTRUCTIONAL PROGRAM SUPPORT FUNCTION REVIEWS

Although institutions do not view themselves as mere deliverers of discrete instructional programs, the public concern is primarily with the quality and relevance of instructional programs. In the interests of institutional credibility and accountability to the public, it is incumbent upon the colleges and institutes to incorporate a systematic instructional program review process into a comprehensive institutional evaluation process, but to do so in a way that does not make one process a duplication of the other.

The Instructional Program and Support Function Reviews will examine each instructional program or cluster of programs for relevance, efficiency and effectiveness every five years as well as Board operation, administration, instructional support services, and personnel policies and practices. Each institution will develop its own model for these reviews guided by the criteria set by the B.C. Council of College and Institute Principals.

INSTITUTIONAL SELF-STUDY

Every five years, under the direction of an institutionally representative steering committee, each institution will conduct an institutional self-study with these objectives:

a) to verify that credible process for the review of instructional programs and support services are in use, effective, and consistent with the criteria established for all colleges and institutes by the Council of Principals;

b) to identify and examine those conditions and processes which have institution-wide significant implications; and

c) to determine if institutional policies are effective in meeting the goals of the institution.

A total institutional self-study conducted quinquennially provides an integrated review of internal processes. It is a means of attempting to resolve complex issues - such as institutional values and what constitutes quality of courses, programs and instructional support services. The degree to which major goals and objectives are being achieved, their suitability, and the relevance of the institution's activities to them are also assessed.

A particular benefit of institutional self-study is the examination of interrelationships among instructional programs and between instructional programs and support and management functions. It also provides for a check on the relevance and quality of the institution's activities by soliciting the views of students, advisory committees and the broader surrounding community.

An institutional self-study facilitates coordination of all activities in a college or institute with the goal of increased institutional effectiveness and efficiency. If properly carried out, it should produce a renewed commitment of all its members to the institution as well as a concise, relevant document which serves as the basis for the external audit and institutional planning.

Instructional Program and Support Function reviews are complementary to institutional self-study. Review of a number of programs at an institution may indicate institution-wide trends and concerns which need to be addressed in the institutional self-study process. Conversely, in the course of conducting the self-study, the need for detailed review of a particular program or function, or revision of the program and function review processes themselves may become apparent.

EXTERNAL AUDIT

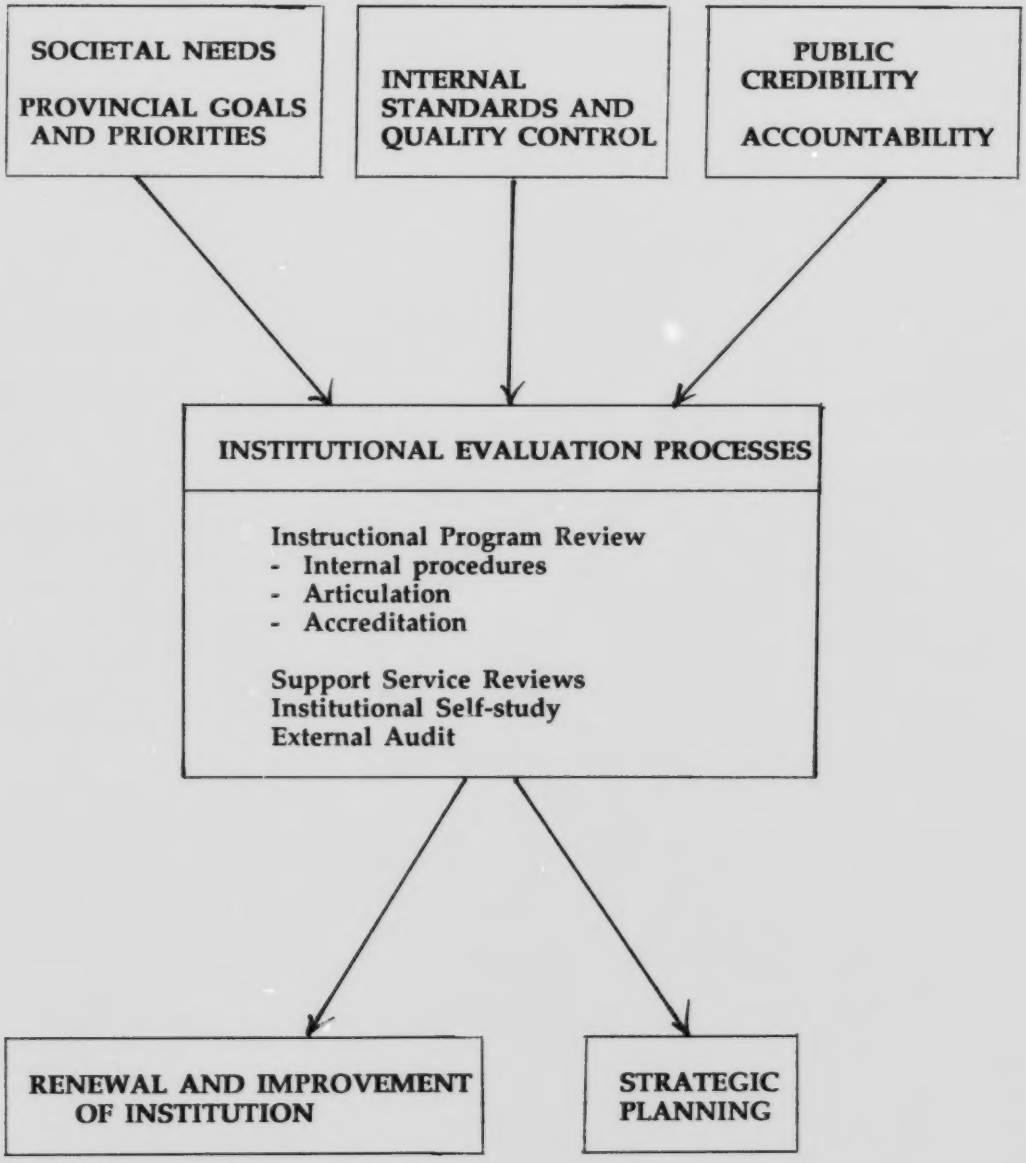
Subsequent to the Institutional Self-Study, an External Audit is conducted providing an externally credible review of and commentary on the quality control processes in use by the institution. The external audit provides external verification that the major institutional issues identified by the self-study are accurate and comprehensive, clearly stated and adequately examined and that the institution has developed or is developing strategies for dealing with them. The starting point for the external audit should be the Institutional Self-Study Report and the institution's Five Year Plan, but the external audit is neither restricted to these documents nor is it to be a repetition of the self-study.

An external audit team is selected by the Institutional Evalution Steering Committee of the B.C. Council of College and Institute Principals. It is composed of individuals whose backgrounds provide a capacity for critical understanding of the particular institution and a sensitivity to college and institute issues in general. This team prepares a report of its findings for the institution.

The external audit also brings an outside perspective to the institution. This part of the process gives people at an institution an opportunity to discuss their operation with informed, experienced and disinterested people from other institutions. The combined perceptions and ideas of an external audit team can be very valuable to an institution.

Each component of the Institutional Evaluation Process is discussed in detail in a separate chapter of the Policies and Procedures Mannual.

INSTITUTIONAL EVALUATION & PLANNING:



RELATIONSHIP OF EVALUATION TO PLANNING

Planning involves determining suitable goals and objectives for an institution, developing alternative methods for achieving these goals, and comparing these alternatives. Planning in a college setting is an extremely complicated and dynamic process, for colleges are large, complex organizations, and, unlike some other kinds of organizations, must operate under external constraints and directives that can change daily.

In spite of this kind of planning environment, or one might argue because of it, a college must have a very clear sense of its own direction, of the role it wishes to play in the community. This is where an institutional evaluation takes on meaning. The evaluation helps compile the kind of information required to re-assess college goals and objectives and to make informed judgements between alternative courses of action.

The factors critical to strategic planning are those usually assessed in an institutional self-study: the organization's current goals and values, its internal capacities and the important factors in its external environment. For a college or institute, internal capacity can include tangible resources (facilities, financial condition, faculty, and program offerings) and intangible ones (such as morale and reputation). Among the major factors in a college's external environment are government and regulatory agencies, demographic and economic trends, and competing institutions.

Strategic planning is not yet well established as an administrative practice in most colleges. Some of its component analyses, such as community needs-assessment surveys, enrollment projections, and assessment of the quality of academic programs, have been part of regular evaluation activities, but haven't been focused on creating a strategic plan. Earlier conditions did not require as high a degree of integration in decisionmaking as do those that are now emerging.

A clear understanding of a college's current mission is an extremely important precursor to strategic planning in higher education. If the current statement does not describe what the institution does or can reasonably expect to do, a revised statement must be prepared.

Assessing the institution's capacity to meet needs is done by pooling a great deal of information. Some, like finances, facilities, to some extent, personnel, is already available.

Other information is explored by the institutional self-study; for example, currently untapped interests and talents of personnel, attitudes which influence institutional flexibility, the effectiveness of operating procedures & organizing structures.

A careful review of student data carried out in institutional self-studies and program reviews gives clues to important external factors. Attitudes of prospective students or potential employers need specific approaches - usually part of an institutional self-study's check of the external environment. Such things as demographic trends and manpower/labour market patterns can be ascertained from existing data banks. Generally a look at competing institutions which is important to planning, is not part of an institutional self study, although it could be. Other external areas to be examined in a planning exercise might include political and legal trends, changing societal values, and changing sources of support.

The tradition and values of an institution, which are important considerations in planning since they influence both internal capacity and external perceptions, are often explored in institutional self-studies.

Institutional self-studies inevitably produce suggestions for change. Consideration of any significant change requires an understanding of a number of complex interrelationships, and the failure to anticipate interactions can threaten the success of a new effort before it begins. Strategic planning is designed to deal with such complexities and should prove valuable for colleges and institutes that must deal with change in the coming decade.

Institutional self-study also highlights those institutional contradictions which can arise when there is no overall plan. A number of major planning and budgeting decisions are made annually by every college. These decisions can be reached either as part of a comprehensive planned approach, or they can result from separate and decentralized activities. In the second instance, it is not uncommon for decisions from various campus divisions to conflict with or offset one another in their long-range effect on the institution. For instance, a budget committee might recommend cutting back evening sections at the same time that the admissions office is stepping up efforts to attract part-time adult learners.

Effective institutional planning requires both institution-wide and program-specific evaluation. The mechanisms of the institutional self-study process produce information required for planning: for example, roles of the board, the internal program advisory committee (PAC) and any other pertinent internal committees, mechanisms for ensuring input by students and faculty, role of external advisory structures, the effectiveness and utility of techniques for gathering market place information, and strategies devised to provide suitable level of accessibility to programs. Comprehensive institutional self-study also provides information on the utility of a wide range of institutional procedures (including planning), helps determine institutional priorities, and indicates the directions an institution might follow.

Individual program and function reviews with ongoing student follow-up produce information about the relevance of and quality of courses, programs and instructional support services. At the end of a planning cycle, the institutional evaluation looks at the degree to which the plan was achieved and the selected courses of action were effective.

EVALUATION/PLANNING CYCLE

	instructional programs	support services	institutional issues & processes	institutional planning
Year 1	20% reviewed	20% reviewed		update to current plan
Year 2	20% reviewed	20% reviewed		update to current plan
Year 3	20% reviewed	20% reviewed		update to current plan
Year 4	20% reviewed	20% reviewed	institutional self-study/ external audit	update to current plan
Year 5	20% reviewed	20% reviewed		preparation of next 5 year plan

RELATIONSHIP OF EVALUATION TO ACCREDITATION

In B.C. colleges and institutes, the authority to decide what programs an institution will offer and what the content of the program will be (i.e. accreditation) rests with the board of the institution, subject to the authority of the Minister of Advanced Education. In the case of some specific programs in the health field, powers of external accreditation have also been granted to external agencies by legislation; apart from these, formal program accreditation is not the prerogative of external agencies.

External agencies should be distinguished from institutional program advisory committees which often include members from appropriate community groups and agencies. External agencies refer herein to incorporated bodies who have as a specific purpose of activity the accreditation of instructional programs.

When the Council of Principals finalized its position on institutional evaluation in January 1984, it incorporated "informal accreditation" or "endorsement by external agencies" as a voluntary, by-institution option for dealing in part with Instructional Program Review, but this would not replace the institution's own review of its programs.

Nevertheless, representatives of external agencies can have positive and critical roles to play in the institutional evaluation process, and should participate in appropriate program reviews, at least to indicate the degree to which programs meet or surpass standards proposed by such agencies.

Further, institutions should feel free to solicit "informal accreditation" by appropriate external agencies with the understanding that the results of "informal accreditation" will be a contributing component of the official program review, institutional self-study, and external audit.

The Council of Principals, through its Institutional Evaluation Steering Committee, maintains a roster of "accrediting agencies" which is shared with all institutions and with the Ministry of Advanced Education. The roster specifies the agency, the programs for which it is used, and the institutions which use it. A description of the agency will be kept on file by the Council, accessible to all institutions.

Should an institution be approached by an external agency seeking opportunities to accredit or endorse programs, that institution should advise the Council of Principals and then, in collaboration with at least one other institution with programs in the area concerned and the Ministry of Advanced Education, investigate the agency, and recommend support, rejection, or modification of that agency's request.

The investigation of an agency should include, but not be limited to, membership, objectives, record of accreditation, capacity to accredit and proposed methods of accreditation (ensuring that the agency is primarily concerned with outcomes rather than institutional processes).

Any external agencies used by any institution for purposes of accreditation/ endorsement, whether approved by the Council of Principals or not, will be added to the roster. Institutions will be requested not to use agencies found unworthy by other institutions.

INSTITUTIONAL EVALUATION PROCESS

for

BRITISH COLUMBIA COLLEGES AND INSTITUTES

INSTITUTIONAL SELF-STUDY PROCESS

INSTITUTIONAL EVALUATION PROCESS

for

BRITISH COLUMBIA COLLEGES AND INSTITUTES

POLICIES AND PROCEDURES

INSTITUTIONAL SELF-STUDY PROCESS

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- Criteria for an Institutional Self-Study

- Organizing for an Institutional Self-Study

    - Factors essential for a successful self-study
    - Establishing the Steering Committee
    - Overview of the Committee's responsibilities
    - Resources needed for a self-study

- Self-study Implementation Procedures

    - Planning
    - Preparation
    - Data collection and analysis
    - Subcommittee procedures
    - Institution-wide discussion

- Preparation of Self-Study Report

- Implementation of Recommendations

B.C. COUNCIL OF COLLEGE AND INSTITUTE PRINCIPALS

CRITERIA FOR AN INSTITUTIONAL SELF-STUDY PROCESS

The Council of Principals has developed these criteria for the conduct and content of Institutional Self-studies in British Columbia colleges and institutes. Each institution is free to fulfill these criteria as best suits its needs and circumstances and to add others as it sees fit.

The Content

Each Institutional Self-study should evaluate:

a) the suitability of institutional goals and objectives (which must be clearly stated) to the needs of the community, and to the designated role of the institution, and the relationship of the institution's policies and activities to its goals and objectives.

b) alternate uses of the institution's facilities and resources and the implications of each.

c) the review processes for instructional programs and support functions to ensure that they exist, are credible and effective and are conducted in accordance with the criteria established by the Council of Principals.

d) policies, procedures, management mechanisms and systems which have institution-wide implications.

e) the progress toward the attainment of goals established in the five-year educational plan.

The Processes

The design of the Institutional Self-study should include:

a) an opportunity for participation by all groups in the institution, (students, advisory committees, board members, administrators, alumni, faculty and staff) in planning the self-study, in providing information for it, and in reacting to its conclusions.

b) a clear plan that has been developed through an interactive process with general agreement.

c) collection and analysis of data, information and observations from relevant persons and groups which substantiate statements and conclusions.

d) use of existing survey, research, and other evaluation activity in the institution and provision for the existence of data on which future assessment and planning can be based.

e) information from the institution's external community whenever possible.

f) a plan for assessing the self-study process.

The Product

The Institutional Self-study will produce:

a) specific, practicable proposals for action to improve and renew the institution, presented in a form that can easily be followed up and incorporated into future plans. These proposals may be underway or fully implemented before the report is completed.

ORGANIZING FOR AN INSTITUTIONAL SELF-STUDY

FACTORS ESSENTIAL TO A SUCCESSFUL INSTITUTIONAL SELF-STUDY

Those experienced with institutional evaluation in British Columbia colleges and insitutes indicate that the following factors are critical to an effective Institutional Self-study.

Orientation

- everyone in the institution must be made aware of the self-study and understand that its purpose is the renewal and improvement of the institution within existing resources.

Commitment

- by senior administrators to facilitate the process and to make changes shown to be necessary;

- by the Steering Committee to conduct an honest, thorough and productive self-study; and

- by everyone in the institution to full participation.

Institutional Climate

- open, candid and honest, free from fear that negative comment will result in punitive action;

- no recent, significant institutional alterations; and

- willingness to make changes.

Resources

- adequate data to base analyses;

- adequate financial and personnel resources to conduct the self-study well: and

- a competent self-study steering committee chairman and project co-ordinator (who may or may not be the same person), and a representative steering committee, all committed to producing the best possible self-study for the institution.

Planning

- careful and thorough planning to ensure that the self-study design is appropriate to the institution and its current concerns;

- timetable to keep the self-study moving purposefully and energetically; and

- a variety of activities to capture interest and facilitate participation throughout the insitution.

Involvement

- all members of the institution must be encouraged to participate in the self-study process.

Following their review of self-studies at over 200 institutions in the north-eastern United States, Kells and Kirkwood (Self-Study Processes, 2nd ed., 1983, p. 17) report that three factors seem to be significantly associated with the perceived usefulness of a self-study. These are (1) internal motivation -- conducting a self-study for the purpose of internal improvement, (2) perceived commitment of top leaders at the institution, and (3) appropriate choice of self-study method in light of institutional circumstances.

In view of these findings and experience in British Columbia, the C.E.O. of an institution conducting its self-study is advised to stress the benefits of the process to the institution rather than external motivation for it and to make his enthusiasm for the self-study readily apparent to all people in the institution. This can be demonstrated in practical ways: for example, by providing release time; through attendance at meetings; by assuring sufficient funding and adequate support services.

Emphasis on a credible, manageable follow-up procedure to handle the self-study recommendations demonstrates serious commitment to the activity. Without this evidence, doubts are created about the likelihood of any change resulting from the self-study and response to the project is apt to be perfunctory at best. Acting on recommendations before the end of the self-study has a very positive effect.

ESTABLISHING THE STEERING COMMITTEE

Central to the success of an institutional self-study is an effective planning and coordinating mechanism, usually a Self-Study Steering Committee.

The Steering Committee is responsible for determining the specific scope and form of the institution's self-study within these guidelines and piloting the process through to completion. Because external influences and internal conditions vary at each institution, the structure of the self-study portion of the Institutional Evaluation process will be unique to each institution. A variety of techniques and approaches can be employed, providing they meet the basic criteria set out by the B.C. Council of College and Institute Principals. It is the task of the Institutional Self-study Steering Committee to choose those techniques and procedures most suitable for the specific needs and conditions of the institution, and carefully plan their implementation. The importance of the Steering Committee's role cannot be overstated, and selection of this group should be given a great deal of care.

Selection of the Steering Committee Chairman:

The chairman of the Institutional Self-study Steering Committee should command the respect of the institutional community, and inspire co-operation from all quarters. It is important that the chairman has an institution-wide perspective, believes in the value of the self-study process, and is able to instill this confidence in others.

As well, the chairman must be able to foster the co-operation and enthusiasm of the committee members while providing strong direction. Familiarity with principles of research and evaluation, and with the organization, staff and services of the institution is also needed. Provision should be made for regular liaison between the chairman of the Steering Committee and the institution's executive group to facilitate understanding of the process by all the institution's senior personnel and to alert the chairman to any events which might affect the self- study.

Membership of the Institutional Self-Study Steering Committee:

Two approaches to the membership of Self-study Steering Committees have been used with apparently equal success. One approach is to have a large group, with broad representation of all facets of the institution and its community, which meets two or three times to determine the general policy of the self-study and then appoints a small task force (six to ten members) to actually conduct the self-study.

The other, and more common, approach is to have a small steering committee of between six and twelve people (eight is probably the optimum) who carry out all the necessary tasks of co-ordination and leadership. With either arrangement, committee members may have subcommittees working with them, and other people may join the steering committee on an ad hoc basis.

The make-up of the committee is an important factor in the success of a self-study regardless of which approach is adopted. The committee has been found to be most effective when its members represent all sectors of the institution, including support staff, students, and board members, and are people who have the respect and co-operation of their colleagues. These members must believe in the value of the self-study process and be able to convey their belief and enthusiasm to their colleagues. It is important that committee members do not see themselves as "representing" a particular group; they are members of the same institutional community working for the whole institution.

Members of the committee may be selected by the C.E.O. and/or the chairman of the committee, or by different groups within the institution. Before the first steering committee meeting, each member should receive a memo from either the C.E.O or the steering committee chairman clearly indicating the purpose and terms of reference of the Institutional self-study and the role of the steering committee. The members of the Self-study Steering Committee need to understand that responsibility for initiating, directing and monitoring the Institutional Self-study process is fixed on them. It is useful to send a copy of relevant sections of this Institutional Self-Study Process Manual and an agenda for the first meeting along with the memo.

Project Co-ordinator:

In most institutional self-studies the Chairman is also the project coordinator - sometimes it's an administrator who's been relieved of some regular responsibilities and sometimes it's a faculty member with partial release time. Occasionally colleges have used the institutional research or planning officer, and, in some cases, outside consultants or researchers have been hired.

Whichever organizational method is selected for the day-to-day management of the study it seems best to have just one person co-ordinate the very complex tasks of publicizing the self-study, arranging printing, distribution and analysis of institution-wide questionnaires, seeing that all sub-units keep on schedule, collecting necessary support documents, co-ordinating the editing and publication of the self-study report, making the myriad arrangements necessary for a successful external team visit, and performing the multitude of other tasks necessary to carry out the policies and directions of the Steering Committee.

Managing an institutional self-study is a demanding task which requires excellent organizational skills, the ability to cope effectively with vast amounts of detail, productive delegation of responsibilities, and the personal attributes necessary to work easily with people both inside and outside the institution. Some familiarity with research and evaluation principles and with the institution's organization, staff and available services is desirable. A self-study coordinator must be able to make practical decisions independently. It is essential to have someone who is dedicated to making the self-study the best possible for the institution.

If no one person is designated as co-ordinator and the Steering Committee is expected to do the work, then experience indicates that the committee members' normal workloads must be reduced so that their work on the Institutional Self-study Steering Committee does not become unduly burdensome or get neglected.

ROLE AND RESPONSIBILITY OF THE COMMITTEE: AN OVERVIEW

The Self-study Steering Committee's first task is to ensure that all members of the Committee clearly understand the objectives of an Institutional Self-study. The Committee next works out an overall self-study plan and, if at all possible, presents it to the institutional community to allow for discussion and adjustment before the final plan is adopted. The timeline which follows illustrates a common approach.

Developing a workable plan is a time consuming process; it is also critical to the success of the institutional self-study and must be given adequate care. Before it begins this task, the Committee needs to review carefully the purposes of and criteria for an institutional self-study and the current conditions and needs of the institution. It must then determine how to conduct the self-study in the way which the committee thinks will be most useful for the institution (see Appendix A for alternatives). The Steering Committee is responsible for determining what data will be needed and how and when it is to be obtained.

This Committee also determines the scope and composition of all subcommittees and plans for whatever complementary activities (for example, institution or division-wide forums, problem-solving workshops, retreats) it feels would enhance the process. For best results, the Committee must set out explicit terms of reference for subcommittees; this saves considerable time and frustration for everyone (see Appendix B).

Meetings of the Steering Committee and sub-committees will be most productive if a specific agenda is prepared for each meeting and minutes are written and circulated.

It is important that the question of what will happen with the evaluation findings be dealt with as early as possible and that members of the college community see that evaluation follow-up is a priority.

The Committee assumes responsibility for preparing the self-study report: a concise and readable synthesis of all the information gathered which goes beyond simple description and dwells extensively on analysis, interpretation and proposals for action. These tasks are discussed in detail in the section titled Implementation Procedures.

Another task of the Self-study Steering Committee is outlining the areas of expertise desired of the external team and suitable dates for its visit. While final selection of the external team and the timing of its visit are the prerogative of the Council of Principals' Institutional Evaluation Steering Committee, the opinions of the institution being reviewed are reconsidered so the most appropriate choices can be made. The earlier the I.E.S.C. knows what is wanted, the more likely it is that the institution's wishes can be fulfilled. When the time comes for the external team's visit, the internal Steering Committee will be responsible for making the necessary arrangements for the visit as productive as possible. Suggestions for doing this are covered in the External Audit Process manual.

The Self-Study Steering Committee should also arrange for some form of evaluation of the self-study process it has promoted at the institution.

The final task in the institutional self-study process is the preparation of an institutional action plan based on the findings of the self-study and the comments of the external audit team. This is discussed further in the section on Implementation of Recommendations at the end of this mannual.

SAMPLE INSTITUTIONAL SELF-STUDY PROCESS TIMELINE

Information and material coming to the steering Committee	Activities of the Institutional Self-Study Steering	Information and material issuing from the Steering Committee
Opinions of institution: staff, faculty, admin., board	Prepares institution for self-study	purpose and process of institutional evaluation explained
Opinions of community; general demographic data	Carefully plans conduct of self-study (1-3 months)	specific recommendations or concerns which can be dealth with promptly are referred to appropriate body.
Opinions of students and receivers of students	Collects and analyses data (1-2 months)	
Previous research into aspects of institution	Organizes sub-committees	topics of significant institution-wide concern referred to sub-committees for detailed study and recommendations (2-3 months)
Program and support service reviews	Can collect further data	
	Outlines makeup External Audit Team	
Report of sub-committees		Findings of sub-committees presented to large forums for general discussion
	Organizes broad discussions	
Discussions of large forums	Prepares self-study report (1 month)	Self-study report presented to institutional community
	Prepares for visit of external team (1 month)	
Report of External Team	Prepares action plans (1 month)	Action Plan presented to appropriate body

RESOURCES NEEDED FOR A SELF-STUDY

While the commitment of the institution's personnel is the prime resource required for a self-study, there are also practical needs to be met. For the duration of the self-study, the person or people coordinating the self-study will need some release from other duties. The Self-study Steering Committee will require secretarial support. (One steering committee chairman estimated that up to one-half of his secretary's time was spent on self-study matters during the project). The self-study requires an adequate budget for printing working documents, questionnaires and interim reports as well as for the preparation of the final self-study report. Postage and telephone expenses, and computer time for analysis of questionnaires must also be budgeted. There will also be some expenses related to the visit of the external team.

It is helpful if the institution is able to provide additional funds on an "as necesary" basis to take advantage of any significant opportunities for action or exploration that may arise during the self-study process (e.g. retreats, special speakers or group leaders). These can be important to keep the self-study process dynamic and effective.

SELF-STUDY IMPLEMENTATION PROCEDURES

Some important thoughts to guide activities:

"How you get where you are going can make all the difference."

"Don't underestimate the importance of helping people recognize what they already know."

"Few things evade our attention so consistently as those things we take for granted."

Michael Q. Patton
Creative Evaluation,
1981

During the process of self-study, an institution mobilizes its total self to appraise its overall accomplishments and potential, to reflect on its purposes and effectiveness and to examine its strengths and its weaknesses. When problems or opportunities are identified, work can begin toward their solution or fulfillment.

Before beginning discussion of the procedures they will use to implement the institutional self-study, it is useful for the Steering Committee members to review together some governing principles for Self-study Steering Committees:

- throughout the self-study, give primary consideration to those who use or should use the institution's services.

- focus on institutional processes: how are things done? how could they be done better? What isn't being done that could be advantageous? What is being done that is no longer useful?

- stress the utility of the self-study process; centre on finding practicable solutions to current institutional problems using existing resources.

- design the self-study process to produce greater intra-mural knowledge and understanding.

Step 1 - Plan, Plan, Plan

Planning the successful self-study is probably the most complex task of the entire process. Do not rush this planning phase. A great number of factors need to be considered, and there are no general rules for the best way to approach the task. Many of the difficulties which have beset previous institutional evaluations can be traced to inadequate planning and coordination.

The planning process should begin as early as possible to allow for maximum participation in the development of the study's design so that it will meet the specific needs and conditions of the institution and, as much as possible, simplify the necessary data collection. Overlooking such details as the load on printing facilities at the beginning of term and the demands on faculty at the end of term have caused real problems for some institutional self-studies. Early planning also facilitates a series of concentrated self-study activities which generate maximum enthusiasm.

Begin by carefully reviewing the steps outlined in this implementation section in light of current conditions, available data, schedules and the needs at your institution. Thoughtful consideration of the questions listed on the next page should help the Steering Committee develop the best possible self-study plan.

The tentative self-study plan should be checked out with others for completeness, suitability, and practicality. The more faculty, staff, and administrators and board members are involved in the planning process, the better the chances of having a self-study that is useful.

When preparing the timetable for the self-study, the Steering Committee, as well as considering which tasks are concurrent and which must be consecutive, must also look at institutional needs and resources (e.g.computer availability, class start and finish dates) and should allow for contingencies. The final time schedule should include deadlines for sub-committee reports, reviews by the Steering Committee, preparation of the self-study report, printing and distribution of reports, visit of external team, preparation and monitoring of action plans. Once the self-study process begins, keep it moving; the more compact and active the process, the more likely it is to be productive.

The importance of the careful development of a plan to meet the specific needs and conditions of the institution cannot be overemphasized.

SOME BASIC QUESTIONS TO BE CONSIDERED WHEN PLANNING A SELF-STUDY

What do we want this institution to get out of the self-study process?

What are the goals of this institution? Are they generally understood, clear and current?

What do we really do here? How well do the activities match stated goals?

What is the organizational climate like? morale? readiness for self-study?

What can be done to encourage the renewal and improvement of the institution?

How can the institution best be prepared for the self-study? What historical and/or political factors must be considered?

How can we encourage the institution to consider how society is likely to change and what effect those changes could have on the institution in the next few years?

What do we need to know to appraise the quality of the institution?

What data is already available? What more is needed? What is the best way to collect it? How will we handle it when it is collected?

Who will use the information that the self-study produces? How will it be used?

How shall critical institutional issues be determined?

How should subcommittees be selected and what terms of reference should they be given?

What procedures will there be for dealing with recommendations?

How does the institutional self-study relate to the institution's planning processes and institutional research activities?

What is the timetable to be? What budget is required? What form is the self-study report to take?

Step 2 - Preparing the Institution for the Self-Study

This is an institutional self-study, and for it to be successful everyone in the institution should have an opportunity to participate in it, or at least be aware of it. Everyone needs to understand the purpose of the exercise and how it will work. Opportunity should be given in the early stages of the process for comments on and adjustments to the self-study plan.

Some techniques for involving the institutional community which have been successful include meeetings with faculty - all together or in groups, meetings with staff, discussions with students' council and the institution's board, use of student newspaper and faculty newsletter, development of a special self-study bulletin using distinctive paper. Steering Committee minutes should be circulated. Some steering committees have found that bringing in an "expert" to talk up the process has been useful. The more creative might like to develop songs, contests, quizzes, slide shows and giant posters.

The institutional community needs to be kept fully informed of the process of all aspects of the self-study, plans for the external team visit and preparation of the action plan. Publish interesting survey results as quickly as possible.

Decisions of the Steering Committee should be communicated to everyone in the institution, particularly those who are directly affected by those decisions. Techniques for doing this should be discussed early on in the process. Samples used at other colleges are available from the Institutional Evaluation Office.

Means whereby the external community can also be made aware of the self-study should be considered as well, (e.g. press releases and advertisements in the local press, radio and television) particularly if you plan any form of community survey or other involvement.

Step 3 - Collect and Analyse Data

To be useful, information for the self-study must possess several properties; it must be valid, reliable, timely and relevant. Data elements should be capable of being broken down (e.g. by campus, division, full-time/part-time) and of being aggregated. A Steering Committee should think carefully about just what information is needed and the most appropriate way of gathering it given the institution's circumstances.

Some student information can be easily collected during registration periods; some is already available in student record systems. All previous studies on any aspect of the intitution's operation should be reviewed; general demographic and economic data can usually be obtained from municipal governments. Material used in preparation of Five Year plans and their updates should also be available in the institution. The Ministry of Advanced Education also prepares statistical reports on various aspects of institutional functioning.

The questionnaires in Appendix E are one means suggested for collecting opinions from an institution's students, faculty, staff, administrators, board members, members of advisory committees and the community. Using CAPRI-West is recommended for several reasons: the questionnaire items and design have been tested; the items cover a broad range of issues of institutional concern and there is space to add specific items where desired.

As well, the questionnaires are interlocking; that is, the same question is asked of many different groups so that their responses can be compared, and the computer analysis program has been developed to do this. Because this system is externally developed there is no institutional bias. While intitially designed by researchers at Queen's University for the Ontario colleges of applied arts and technology, the CAPRI questionnaires included here have been specially adapted for B.C. institutions. However, they are not suitable for all institutional self-studies.

Commercially prepared questionnaires are also available. Probably the best known are the ETS Institutional Functioning Inventory, Institutional Goals Inventory and Students' Reactions to College. These are well validated and have Canadian forms, but they are not designed for as broad a spectrum of respondents as the CAPRI instruments or for institutions with vocational programs. (see Appendix D) Samples of these and instruments used at other colleges are available from the Institutional Evaluation Office.

It is also possible for the Steering Committee to design its own questionnaires, but this is very time consuming, and there is no external validation of the instruments. Review of questionnaires designed for earlier institutional self-studies in B.C. shows that all cover basically the same areas as the CAPRI and commercially prepared instruments. The addition of a few questions and/or the deletion of others in the CAPRI instruments should allow most institutions to collect all relevant information.

It should be remembered that surveys usually do little more than indicate healthy areas and problem areas. Further investigation is needed to find out why situations are as they are. Alternative approaches to collecting information are listed with notations about their relative advantages and disadvantages in Appendix C. Further information about them is also available at the Institutional Evaluation Office.

Instructional Program and Support Function Reviews will provide another source of useful institutional information. An analysis of these reviews by the Steering Committee will likely indicate common strengths and concerns in the institution's instructional programs and support services. An appraisal of the effectiveness of these reviews is an essential component of the institutional self-study.

While it can be expensive and time-consuming to obtain, information from the community not only provides valuable advice to the institution, but can also enhance community understanding of and support for it. Any survey of the community should be done with great care that the impression left of the college is a positive and realistic one.

When planning the data collection process, it is important to keep a couple of factors in mind. First of all, criticizing methodology is a common way of dealing with displeasing results, so be careful. Secondly if the information collected is not useful to those who will be required to implement the desired changes, then the changes are unlikely to occur. It is not enough to say that everyone is dissatisfied with the registration system; in order for the faults to be corrected, the comments must be more specific.

The process of collecting and analysing data will probably take two months of concentrated activity. From it should come two lists. The first one would contain specific problems, concerns, and suggestions which can be referred to existing committees or departments for prompt action and/or comment. The Steering Committee will need a mechanism for efficiently following up the fate of these concerns and suggestions. If it has chosen an "issues" approach to the self-study the Steering Committee will select from all the data available what appear to be the significant institution-wide concerns to be referred to subcommittees for detailed study. Both lists should be made known throughout the institution. It is also good to publicize the institution's strengths as revealed by the Steering Committee's inquiries.

Should it appear that no signficant institution-wide concerns have emerged from the data, there are alternate routes to follow (see Appendix A) for organizing subcommittees to examine the institution's functioning.

Step 4 - Subcommittee Procedures

This is a critical task; it is important that the people working on these subcommittees be competent and willing with the best interests of the whole institution at heart, and be perceived by the institutional community as all of the above. Assignment of people to subcommittees can be a very sensitive task and should be approached with considerable thought and care. How they are selected is the decision of the Steering Committee, but each subcommittee should have cross-institutional representation so that the widest possible range of experience is brought to study each issue. Care should be taken to avoid the appointment of those known to have special interests in the outcome of the study. Experience suggests that holding elections many produce the vocal rather than the thoughtful.

To make the work of the subcommittees as easy as possible, the Steering Committee should provide each with clearly expressed terms of reference. These should state the issue to be examined, reasons why it was selected, supporting information that's available, guidelines for recommendations, and outline of the format of the subcommittee's report and a definite timetable for its activities (see Appendix B).

A system for on-going monitoring of the subcommittees' progress should be in place so that there are no rude surprises; individuals on the subcommittees should be made responsible for producing a usable report.

Step 5 - Organize Institution-wide Discussion

A great deal can be achieved in focussed, carefully planned full or half day seminars. Large or small groups either cross-institution or within a single unit can discuss issues and priorities, review data, and contribute possible solutions to institutional problems. These discussions can be scheduled concurrent with and/or subsequent to the work of the subcommittees.

Printing a draft report on newsprint for reaction, or printing a summary and having each subcommittee present its detailed findings at an open forum allows for examination and discussion of the reports produced by the subcommittees to see that they are complete, accurate, and appropriate, and ensures that nothing of significance has been overlooked. It also gives the subcommittees recognition for their efforts.

Forums also provide for further reporting on how specific suggestions and concerns have been handled. The individuals to whom they were referred can explain what has been done with them or what the plans are. This phase of the self-study allows everyone to see that the process does produce results, or, if action is not possible, enhances understanding of why that is the case.

This phase, which should generate widespread discussion, is important if the institutional self-study is to reach its potential effect on the renewal of the institution. It provides a last check that the implications of recommendations have been considered, that all relevant information has been received. Everyone should understand why some things have been recommended and others not, and commitment to their implementation should be discussed.

PREPARATION OF THE SELF-STUDY REPORT

Preparing the self-study report is the Steering Committee's job. Drawing from the data collected at the beginning of the self-study, the reports of the subcommittees, and the reaction of the various discussion groups in the institution, the Committee compiles a report.

The report is intended to be a description of the self-study process and a presentation of its findings. Preparing a tidy report should not become the objective of the self-study. Some changes resulting from the self-study process will probably have occurred before the report is prepared and others will be underway.
The report has several important functions in the evaluation process and ought to be prepared with care. It presents in a unified form an account of the self-study activities. This allows all who completed questionnaires, or allowed their students to be surveyed or attended discussion groups can see that a useful purpose was served by their efforts.

Distribution of the report prompts discussion of its contents, promotes greater understanding of the institution's functioning, aids in building interest and morale and provides some assurance that recommendations resulting from the self-study will be pursued. The self-study report is also the main working document for the external team, and provides the base for institutional planning.

Some institutions may wish to use the self-study report or sections of it with potential scholarship or foundation donors, with community leaders or agencies with which joint projects are contemplated, or to meet the needs of outside accrediting agencies, but it's primarily intended for the institution.

The self-study report should be frank, balanced and capable of being read in a single sitting -- absolutely no more than 100 single-spaced pages. It must be well-organized and clearly written, focussing on key issues and recommendations with a uniform narrative format. While the Steering Committee reviews the content of the self-study report, it is preferable if it is actually written, or at least edited, by one person.

Supporting data used in the study should be listed and included with individual subcommittee reports, detailed results of general surveys used, and any other supporting material in appendices separate from the main report. Appendices should be easily available to anyone who wishes to see them. As much as possible, the self-study report should avoid description; refer instead to the institution's calendar, planning document or promotional literature for descriptive detail. The good self-study report will reflect the nature of a good self-study -- an appraisal of the institution's strengths and weaknesses aimed at the improvement and renewal of the institution.

Generally, the following information will be found in a self-study report:

- a very brief sketch of the institution and its community
- an account of the self-study procedures -- who was involved, how it was organized, what data was used
- a comment on the program and function review procedures in place at the institution.
- the major institutional issues; how these were determined and how they were handled, summary reports of the subcommittee
- a description of how other findings of the self-study were dealt with
- a complete list of the recommendations of the Self-study Steering Committee. These should be very specific, i.e. what is to be done by whom, when, and are most useful if accompanied by a rationale
- a summary of institutional strengths and weaknesses as identified by the self-study
- a list of appendices and sources of relevant information, for example: census data, enrollment statistics, questionnaires, and raw data from surveys, planning documents, the institution's calendar, five year plan, mission and goals statement, promotional literature, original subcommittee reports.

Prepare as many copies of the report as the budget will allow so as to encourage wide readership. Usually only a limited number of appendices is required.

The following criteria for institutional self-study reports prepared by the Institutional Evaluation Steering Committee of the Council of College and Institute Principals may give additional direction.

CRITERIA FOR INSTITUTIONAL SELF-STUDY REPORT:

An effective Self-study report:

a) **is a concise report which synthesizes the significant issues in the institution, is supported by readily available, codified information files, and goes beyond description to provide analysis, interpretation and proposals for action.**

b) **describes the instructional program and governance and support function reviews in place at the institution.**

c) **identifies accurately difference of opinion, inconsistencies, diversity, and confusion without attempting to remake data into some consistent whole.**

d) **provides sufficient description, data and analysis for the external team to understand and audit the institutional achievements and procedures, and to substantiate statement made in the self-study report (uses objective data where available and purposeful, but makes no apologies for using subjective data.).**

e) **readily available within the institution.**

IMPLEMENTATION OF RECOMMENDATIONS

The evaluative process is just a beginning to the solution of problems and meeting of new challenges. Without a serious and organized attempt to develop a plan to implement recommendations resulting from the Institutional Evaluation Process, many of its potential benefits are likely to be lost.

Several factors are important if action is to result from evaluation processes. First of all, the evaluation process itself must create an attitude of receptivity to change in the institution. In his book Handbook of Academic Evaluation, 1978, Paul Dressel says,

> "Action on a self-study report can be expedited by spreading the recommendations over many persons and offices rather than having them remain a monolithic item to be processed somehow through ordinary channels, with parts referred to appropriate committees and individuals. Seldom can an administrative officer put a set of self-study recommendations into effect by fiat, and the impact of the study is lost (and so may be most of the recommendations) if the whole report must be fed from the self-study group to the slow, nit-picking process of standing committees. But if the conduct of the study has created an attitude of receptivity and if each of the recommendations is strongly supported by majority of the self-study group, a large segment of the faculty, and the indivuduals or offices most directly concerned, many recommendations may be accepted and put into effect before the final report is ready for distribution." (p.426)

Any organization is a complex social system of interlocking roles and relationships which are comfortable (or at least familiar) for those in them. Change is often uncomfortable for people, and they need to be convinced that new practices will have significantly better outcomes than the old ways. Changing an organization requires management effort and time which are in short supply. Recommendations which challenge accepted organizational values and beliefs will probably run into trouble. There is always a fear that too much change will produce instability and a lack of confidence in the institution's capabilities. Be careful that relationships with agencies outside the institution are not upset by new ways which conflict with current expectations.

For most post-secondary institutions in British Columbia, the difficulties of planning change are further complicated by an external environment which is capable of sudden shifts, such as changes in funding and student demand, an internal environment sometimes substantially influenced by the impact of labour agreements, and by people resisting changes they have not themselves advocated.

It frequently takes time for evaluation results and the ensuing recommendations to gain broad support in an institution and for the institution to mobilize its resources for action. Consequently, implementing the recommendations produced by the Institutional Evaluation Process is likely to be slow and involved. However, implementation is a vital part of the process, and planning for it deserves attention and effort.

Those formulating the recommendations - either the Institutional Self-Study Steering Committee, the External Audit Team, or the group responsible for program and function reviews - must take considerable care as they translate the evaluation results into recommendations for action. Each recommendation should be realistic given current conditions. Each should state very clearly what is to be done. Recommendations that something "be improved" or have "more attention" paid to it have been found little use for follow up. The recommendations should be addressed to a specific person or office responsible for making the desired change. It is useful if the recommendations have built-in time lines and criteria for measuring completion. "In process" and "ongoing" are forlorn labels for the black holes into which unclear, unpopular or difficult recommendations fall.

Widely publicizing the recommendations is a way to ensure that they are not forgotten. If there are reasons why the recommended action is not practical, these should be stated. If the disposition of recommendations is not made public, disillusionment is likely to infect the institution.

Several people involved in institutional evaluation have suggested that it might be advisable to have a formal (some think external) review of the status of recommendations after one year. So far no universally workable mechanism for this has been developed. Many CEO's have committed themselves to giving quarterly status reports on the recommendations; a process which has been well received in their institutions.

INSTITUTIONAL EVALUATION PROCESS

for

BRITISH COLUMBIA COLLEGES AND INSTITUTES

THE EXTERNAL AUDIT

INSTITUTIONAL EVALUATION PROCESS

for

BRITISH COLUMBIA COLLEGES AND INSTITUTES

THE EXTERNAL AUDIT

- External Audit Process

    - Role of External Audit Team
    - Selection of Externa Teams
    - Structure of an External Team Visit

- Responsibilities of Host Institution

    - Before the visit
    - Orientation System
    - Scheduling interviews
    - The visit
    - Report of external team
    - Who pays for what

EXTERNAL AUDIT PROCESS

Subsequent to the Institutional Self-Study, the third component of the Institutional Evaluation Process, an External Audit of each institution, will be conducted. It provides an externally credible review of and commentary on the instructional program and support function review processes used by the institution, external verification that the major institution-wide issues have been identified and adequately handled by the Self-Study and confirmation that the institution has developed or is developing adequate strategies for dealing with these. An external audit gives the institution the benefit of having experienced people from outside the institution offer their opinions and suggestions to aid the institution's striving for renewal and improvement.

THE ROLE OF AN EXTERNAL AUDIT TEAM

The starting point for the External Audit should be the Institutional Self-Study Report, the institution's Five Year Plan and any other plans the institution has, but the External Audit should be neither restricted to these documents nor be a repetititon of the self-study.

The institution's self-study provides the primary focus for the work of the external team. The team must be sure to address the entirety of the self-study, but if in the course of its analysis the external team becomes aware of additional issues or concerns which seem to require further investigation and inquiry, the team should indicate these and feel free to pursue them.

The External Audit team is selected the by Institutional Evaluation Steering Committee of the Council of Principals. It is composed of individuals whose backgrounds provide them with a capacity for critical understanding of the particular type of institution concerned and a sensitivity to college and institute issues in general.

The entire institution should be aware from the outset of the Institutional Self-Study that the external team is coming. In no way should the external team be viewed either as the problem solvers or the inspectors. As well as its audit function, the external team provides the institution with the collective opinions of a group of experienced, highly skilled practitioners who objectively and with common sense, appraise the functioning of the institution.

TASKS OF AN EXTERNAL AUDIT TEAM

The actual on-site visit of an External Audit Team to an institution is brief, rarely more than three days. Before the team arrives, its members have thoroughly reviewed the institution's self-study report, the Educational Plan, annual reports, and other relevant documents. The team has also had a one day orientation session at which representatives of the institution answered questions and provided background information.

Members of an External Audit Team understand clearly that their task is to validate the findings of the institution's self-study. To do this, the team makes an independent analysis of the quality of the institution's performance, of the effectiveness of its procedures, and of the suitability of the application of its resources bearing in mind constantly that the institution is to be viewed in terms of the purposes and objectives it serves.

Briefly, the tasks of the External Audit Team are to:

1. Establish the accuracy and completeness of the information contained in the institutional self-study report: were all significant institution-wide issues identified? were they adequately studied? are acceptable strategies in place for dealing with them?

2. Review and comment on the quality control processes, particularly the Program and Support Function Reviews, in use in the institution. Appraise their thoroughness, effectiveness and the extent to which they meet the criteria established by the Council of College and Institute Principals.

3. Prepare a critical analysis and interpretation of its findings with recommendations where appropriate. This should not be a restatement of the institution's Self-Study Report.

The visit of the External Audit Team also gives people at the institution an opportunity to discuss their operation with informed, experienced and disinterested people from other institutions. An external team visit provides an institution with many man-days of informed, outside perceptions. Members of external audit teams recognize that they have a privileged position which frequently requires confidentiality.

The external team's report is prepared for the institution; it is a public document and is made available for information to the Ministry of Advanced Education.

SELECTION OF AN EXTERNAL AUDIT TEAM

Selecting an External Audit Team is a delicate task. The Institutional Evaluation Steering Committee is concerned that the team be suitable for the institution in background, skills and personality, while recognizing that the credibility of the process can exist only if the selection of the team is truly external to the institution.

The process currently employed has the following steps:

1. With consideration of the role of an External Audit Team, the Self-Study Steering Committee at the institution outlines for the Institutional Evaluation Steering Committee the kinds of skills and backgrounds it feels should be represented on its External Audit Team. The Committee may add to or delete from this outline if it sees fit.

2. The Institutional Evaluation Steering Committee looks for appropriate people for the team. A list of potential team members is sent to the chief executive officer who may discuss the proposals with either senior personnel or the self-study steering committee or both. S/he tells the Institutional Evaluation Steering Committee if there are specific objections to anyone proposed.

3. The Institutional Evaluation Steering Committee then assembles the External Audit Team for the institution as it sees fit.

It should be noted that while care is taken to consider the wishes of the institution, the final responsibility for the selection of External Audit Teams rests with the Institutional Evaluation Steering Committee of the Council of Principals.

STRUCTURE OF AN EXTERNAL TEAM VISIT

The visit follows, usually within two or three weeks, the orientation session organized by the Institutional Evaluation Steering Committee for the external audit team. Representatives of the institution attend this session.

Usually the following elements make up an external team's visit. The institution is free to organize them as seems most appropriate; if there are questions, consult with the Institutional Evaluation Officer.

First Day (usually a partial day):

- a team meeting

- a tour of facilities (optional)

- an informal meeting with Steering Committee members, senior administrators and Board members

- some interviews if necessary

This allows the team members to meet their principal contacts on campus and key administrators. Normally the C.E.O. or Steering Committee chairman welcomes the team, makes announcements, and introduces the institutional representatives present. The team chairman introduces the team members and indicates the areas they are reviewing if specific assignments have been made.

Days 2 and 3:

- external team members interview, tour and study documents

- late afternoon or evening external team meets.

Day 4:

- Morning - external team meeting

- early afternoon - presentation of external team's oral report.

Unless there are very exceptional circumstances, at the very least, the major representatives of the administration, college board, faculty, staff and students are invited as well as the Self-Study Steering Committee. The entire institution is invited to the presentation. If at all possible, encourage informal discussion following the presentation.

RESPONSIBILITIES OF HOST INSTITUTION FOR EXTERNAL TEAM VISIT
or

"The Care and Feeding of External Team"

In order to get the most benefit from the external audit process, the host institution must provide the team members with all the information they need before their visit and make all necessary arrangements for the team's travel and interviews during their visit. In this way, the team's time on-site can be effectively used.

BEFORE THE TEAM VISIT:

As soon as your external team is confirmed by the Institutional Evaluation Steering Committee, send each member a copy of the current calendar, most recent annual report, five-year plan, statement of mission and goals, organization chart, staff list, and any other pertinent publications.

Mail copies of the self-study report to each team member and to the Institutional Evaluation Officer **at least two weeks before the orientation session.** The orientation and the visit will be postponed if the self-study is not sent to the external team two weeks ahead.

If yours is a multi-campus institution, plan travel arrangements for team members within the region ensuring that all major centres of operation are covered as well as representative small ones.

Make hotel reservations (ask for quiet rooms; no bands or pubs below); try to ensure that the rooms have adequate space and light for writing. If your team visit is following the standard Tuesday to Friday scheduling, arrange also for a meeting room at the hotel for the Tuesday, Wednesday and Thursday evenings of the team's visit and for the Friday morning Confirm these times with the team chairman at the orientation session. Reserve a workroom at the institution for the duration of the visit. If possible, this room should have space to read and write, a telephone, coffeepot, and access to a photocopier.

Fully inform all people at the institution of the external team visit. (board, staff, students) Be sure that the purpose of the external team visit - an audit of the self-study with the helpful insight of informed colleagues - is clear to everyone. It is very important that team members are not viewed as inspectors or external evaluators. Stress that team members regard as confidential all statements made to them; their report is a summary of all they have learned. College personnel who are speaking to team members should realize that they will be asked about the self-study. It will be embarrassing to the Steering Committee if these questions are met with "What report? What self-study?"

Select representatives of advisory committees, major employers, local high schools and any other community members with whom the institution is in contact, and make tentative appointments with them for the external team. Make appointments with board members also. Frequently these people's schedules are filled well ahead, and it is difficult to see them at short notice; it is easier to cancel appointments if they are not needed. These can be group breakfast or lunch meetings if that works well. Telephone interviews are another alternative.
Keeping in mind the general structure of a team visit, prepare a tentative schedule (see Sample A) to take to the orientation session for the team members' consideration. This need not be too detailed at this early stage.

ORIENTATION SESSION

The orientation session for the external audit team is arranged by the Institutional Evaluation Officer. Representatives from the institution should bring with them extra copies of the self-study report and other previously mailed material to counteract the vagaries of Canada Post as well as copies of the collective agreements, maps and samples of promotional material. The institution is responsible for the expenses of its representatives.

They should be prepared to describe the institution, to explain the self-study process used and to highlight areas of the self-study the institution would like to have particular attention paid. It would be helpful if the representatives of the institution could explain such things as the planning and review procedures, program orientation, enrollment data and other statistics, organizational structure, history (changes over time and reasons) and the community served. The institution is responsible for the expenses of its representatives.

The representatives will answer any questions the team members might have about the self-study or the institution. At this time, they will also present their tentative schedule for the visit to the external team members. At the end of the day, the team members will detail whom they wish to speak to at the institution, what additional information they would like to have, and what they would like to see.

At this session check with the team chairperson about:

- times the hotel meeting room will be needed for meetings of the external team.
- what needs she/he foresees for clerical support (including typewriters, copying facilities, dictating equipment)
- arrangements she/he would like for the presentation of the team's oral report.

SCHEDULING INTERVIEWS

Fit in those people team members have identified by name or position first. Then select a balanced representation from the institution: the happy, the unhappy, the quiet, the noisy, full-time, part-time, staff, students, faculty, administration, board and relevant people from the community. Be sure the presidents of the faculty and staff associations, student associations and any others are included. Don't overload with senior administrators; team members should talk to teaching faculty, lower management and students too. Be sure also to include people other than members of self-study subcommittees whose views are already available in the report.

- Allow about 50 minutes for interviews with senior administration and Board members and 30 minutes with faculty. These interviews are most productive if they are one-to-one. Students can be interviewed in groups of 3 or 4: allow 20-30 minutes. Student interviews are often best set up informally in lounges and cafeterias.

- Allow some rest and thinking periods between interviews: listening is hard work.

- It's a good idea to schedule "drop-in" times for at least some team members. These should be extremely well publicized (see sample B) and spread over the visit.

- Meetings with groups, eg. the Board, administrators, self-study steering committee, are useful only if they are informal enough to allow one-to-one conversations. Meetings with union executives should also be small and informal (eg. lunch).

- As much as possible, keep team members' evenings clear for team discussions and report preparation.

- Keep social events to a minimum and avoid them completely on the last evening of the visit. The team has a limited time in which to do a great deal of work.

- Prepare a general schedule (sample C) and detailed personal schedules for each team member (see samples D & E) and the Institutional Evaluation Officer. The institution's coordinator for the visit will, of course, maintain a master schedule. Inevitably, there will be last minute changes, and provision for handling these must be made.

- Be sure to confirm each appointment in writing, and include the name of a contact person in case last minute changes must be made.

SAMPLE A

EXTERNAL AUDIT TEAM VISIT, APRIL 15, 1986

TUESDAY, APRIL 15

2:30 - 4 pm	Team meeting, DOME Motor Inn
4 - 5:30	Reception, Cariboo College Staff Lounge Hosted by the Board. Steering Committee and Study Group members present.
5:30 -	Dinner, Cariboo College Banquet Room, with Board, Executive and Steering Committee.

WEDNESDAY, APRIL 16

9 am - 4:30 pm	Interviews, Cariboo College campus. (Fred's interviews are schedule 8:30 - 5)
7 pm -	Meeting with community representatives, DOME Motor Inn, Room 231.

THURSDAY, APRIL 17

7:30 am	Breakfast meeting with Advisory Committee members, DOME Motor Inn Dining Room.
9 am - noon	Interviews, Cariboo College campus. (Fred to Williams Lake.)
Noon - 1 pm	Lunch with Faculty Association, CUPE, and Administrative group representatives, College Cafeteria.
1 - 2 pm	Interviews, Cariboo College campus.
2 - 4 pm	Drop-In Sessions, Cariboo College campus.

FRIDAY, APRIL 18

1 pm	Open Forum, Cariboo College Boardroom. External Team highlights their report to College community.

SAMPLE B

A N N O U N C E M E N T

The External Audit Team visit for the College Institutional Self-study will be March 14-18. The Team members will undertake a 2 l/2 day blitz in which they will audit our self-study.

The External Team arrives Tuesday afternoon (March 14). They will meet with the Senior Administrators and the Steering Committee that day.

On Wednesday and Thursday, they will spend most of their time meeting individually with many college personnel. Most of these meetings have already been scheduled and meeting times confirmed.

Each member of the team also has open periods specifically set aside for faculty, staff and students who do not have appointments. If you wish to speak to a member of the external team, drop in at one of the times listed below.

EXTERNAL TEAM OPEN APPOINTMENT TIMES

Person	Day and Time	Place
Mr. Y.	Wed. 10:30 to 14:40	C.E. Bldg.
Ms. A.	Wed. 2:30 to 3:30	LRC 204
Mrs. A	Thu.11:00 to 12:00	Board room
Mr. Z	Thu. 2:00 to 3:00	Board room

Anyone who is unable to meet a Team Member due to schedule problems may leave his/her phone number with me and request a phone interview. I will relay your request and phone number.

B.Z. Person
Coordinator (111-3210)

SAMPLE C

EXTERNAL TEAM SCHEDULE

TUESDAY

12:00 noon	Meeting at Comfortable Inn Information Planning and Strategy
1:45 p.m.	Depart for ------ campus
2:00 p.m.	Arrival at Board Room Information and Campus Tour
3:30 p.m.	Meeting with College Senior Administrators President; Bursar; Dean of Intruction; Ac/Tech; Dean of Instruction, Vocational; Dean of Administrative and Student Services; Assistant Dean of Community Education
5:00 p.m.	Depart for hotel
6:00 p.m.	Cocktails and dinner with College Board, Beautiful Room, Comfortable Hotel

WEDNESDAY

9:00 a.m. 4:30 p.m.	to see detailed individual schedule
7:00 p.m. ?	to team meets - Board room A, Comfortable Hotel

THURSDAY

9:00 a.m. 4:00 p.m.	to see detailed individual schedule
6:00 p.m. ?	to team meets in Board room A, Comfortable Hotel

4 electric typewriters and one dictaphone have been requisitioned for team members. They will be delivered to the hotel around 4:30 p.m.

FRIDAY

12:30 p.m.	Equipment pick up - typewriters and dictaphone It would be appreciated if you could have these at the desk
2:00 p.m.	External Team presents its oral report to the institution in lecture theatre 104.

SAMPLE D

Bruce Mahon,
Interview Schedule

THURSDAY, APRIL 17
Visual Arts 106

7:30	Breakfast with Advisory Committee reps, DOME
9 - 9:30	Mel Galloway, Director Student Services
10 - 10:30	Ben Eldridge, Director Trades and Industrial Training
11 - 11:30	Jim Wright, V-P Education
11:30 - 12	David Cane, Director Sciences and Health Services
12 - 1 pm	Lunch with Faculty Assn., CUPE, and administrative group reps, Cafeteria
1 - 1:30	Dennis Mayberry, Registrar
1:30 - 2	Mr. Brewster, Principal
2 - 4	DROP-IN SESSION

SAMPLE E

Itinerary for Tuesday, November 3

Bob Warick - Dawson Creek

Afternoon	12:30	Lunch - Lily's Dining Room, George Dawson Inn.
	1:30	Tour Dawson Creek Campus with Don Morrison, Assistant to the Campus Principal.
	2:30	Coffee in Regional Office and settle in your interview room for the day which is the new registrar's office.
	3:00	Marchita Leoppky, Editor Peace River Block News (daily newspaper)
	3:30	Marily Croutch, Editor The Mirror (weekly newspaper)
	4:00	Steve Paskalato, CJDC Television News. Tel # 582-7171 is expecting your call.
Evening	4:30	Unscheduled time
	6:00	Refreshments (No Host) Hunter Room, George Dawson Inn.
	6:30	Introductory Dinner with College Administrators, Steering Committee Members, and Working Committee Chairman.

TEAM VISIT

- Each team member should be provided with a package of materials containing: a map (or equivalent) of institution, a telephone list, his interview schedule, (names of his guides/chauffeurs) and, any relevant information about the community.

- Background information team members may wish to refer to include faculty and support staff contracts, minutes of board, division, advisory, and self-study steering committee meetings, policy and procedures manuals, and original sub-committee reports and supporting documents (clearly identified). These should be put into the on-site work room reserved for the team's use.

- Leave a list of external team members and a contact number with your switchboard.

- The Institutional Evaluation Officer likes to get recommendations for restaurants and the hours and location of shopping facilities.

NOTES TO COORDINATOR

As far as possible, keep yourself free for the duration of the team's visit; it is essential that someone who knows the institution and how to find people be available most of the time to see that the members of the external team get where they want to go and see whom they wish to see with a minimum of fuss.

Be flexible! It's normal for a coordinator to super-plan everything. While careful planning is essential to a productive team visit, people and the world being as they are, some things just will not go according to plan. Don't worry, external team members are all competent and experienced people and they'll cope.

PRESENTATION OF EXTERNAL TEAM'S REPORT

At the end of its visit, the chairman of the external team will give a brief report to the institution: this will be an oral summary of the team's findings. Be sure there's drinking water available for the chairman. It is customary for senior administrators, board members and the self-study steering committee as well as interested faculty, staff and students to attend this presentation. It's useful to schedule an informal session after the presentation (e.g. coffee) so that team members may informally answer any questions. It also ends the visit on a friendly note.

A draft of the written report is sent to the CEO of the institution as soon as possible after the visit by the Chairman of External Audit Team to ensure there are no errors of fact.The final report is sent to the Institutional Evaluation Officer for printing and is then sent to the CEO of the institution.

It is accepted practice that the institution sends a copy of its institutional self study report and its external audit report to the Minister of Advanced Education.

INSTITUTIONAL EVALUATION PROCESS
for
BRITISH COLUMBIA COLLEGES AND INSTITUTES

REVIEWS OF INSTRUCTIONAL PROGRAMS AND SUPPORT FUNCTIONS

INSTITUTIONAL EVALUATION PROCESS
for
BRITISH COLUMBIA COLLEGES AND INSTITUTES

REVIEWS OF INSTRUCTIONAL PROGRAMS AND SUPPORT FUNCTIONS

Place of Instructional Program and Support Function Reviews in the Institutional Evaluation Process

Purpose of Instructional Program and Support Function Reviews

Development of Instructional Program and Support Function Reviews

Criteria for Instructional Program Reviews

Criteria for Support Function Reviews

General Principles of Program and Function Review Processes

Sources of Data

Monitoring Review Processes

Resources for Developing Review Processes

PLACE OF INSTRUCTIONAL PROGRAM AND SUPPORT FUNCTION REVIEWS IN THE INSTITUTIONAL EVALUATION PROCESS

Ongoing instructional program and support function review is an integral part of the Institutional Evaluation Process in B.C. colleges and institutes. The review of all instructional programs and support functions is to be carried out systematically so each function and program is reviewed approximately every five years. In addition to the value of the reviews in themselves, they will also provide part of the base data for the quinquennial Institutional Self-Study, which focuses on issues affecting the functioning of the institution as a whole. The external audit team, the third component of the Institutional Evaluation process, has a limited role in the program and function review process; its task is to confirm that a useful, acceptable program review process is in place and that it produces recommendations which are followed up satisfactorily.

An underlying premise of the Institutional Evaluation process is that the public and government are entitled to documented assurance that colleges and institutes are effectively serving the needs of their communities and the province through the appropriate use of available resources. It is not adequate for institutions merely to assert the quality of a program or activity; a systematic, information-based review is needed for accountability, adaptation, and improvement. Simple measures of efficiency or outputs do not by themselves constitute program and function review; these give little or no suggestion of what improvements are needed and how best to make them, nor do they give progress to be proactive in response to anticipated external demands.

Instructional program and support function reviews are an organized process of collecting and disseminating information to assist the board, administrators and faculty in making judgements about the effectiveness of services and programs. It provides a sound base for planning and development, as well as a systematic process to catalyze constructive change and adaptation to continually changing circumstances.

Program accreditation, both formal and informal, by external agencies is an adjunct to the systematic internal review of instructional programs. The insights provided by relevant external agencies provide a useful addition to internal review of instructional programs, but external accreditation or endorsement is not to replace the program review process described here.

PURPOSE OF THE REVIEWS

The primary goal of the review process is to assist instructional programs and support functions to improve the services they offer. The reviews can determine the extent to which stated goals and purposes are actually being realized and indicate where to improve, maintain or eliminate parts of the program or service.
Usually the faculty and administrators at an institution will already have a general knowledge of the strengths and weaknesses of their programs and services. This system of evaluation can confirm this knowledge, expand on it, suggest alternative courses, and provide assurance to all parties that quality control procedures are in place. The review process engages people's attention in a systematic way in capitalizing on institutional strengths and solving institutional problems.

A well-designed review process can be of real assistance in two additional ways. First, during a review the people involved with the program or service, who are ultimately the ones who will be making changes, will reflect on their tasks and how well they are performing them and will have a structure in which to discuss the need for change and how best to achieve it. Second, the review serves to transmit the institution's values and expectat- ions through the criteria employed, the questions asked, and the standards applied; it thus exerts a powerful influence on programs and services. Change in desired directions can result even in those not currently under review, especially when the institution is aware that all areas will be reviewed in rotation. It is not the intention of this process to evaluate individuals; other methods are appropriate for this kind of evaluation.

The specific objectives of the Program and Function Review are

A. To provide staff with feedback which will assist them to improve their program or functional area

B. To provide sound, highly credible information upon which the program staff and the institution can base decisions.

C. To provide a basis of comparison between different approaches to methods for achieving objectives.

D. To provide cumulative results which may indicate trends.

E. To assess recent innovations.

F. To clarify the role of program or service within the institution.

G. To stimulate interest and awareness about the program or service.

H. To ensure accountability for funds allocated to the area, or those generated and used by a program or support function.

I. To provide information to other groups as appropriate, e.g. programs and departments affected by the reviewed area, interested external agencies.

DEVELOPMENT OF REVIEWS OF INSTRUCTIONAL PROGRAMS AND SUPPORT FUNCTIONS

The best interests of all institutions will be served by having each college and institute develop the specific details of a model for its own instructional program and support function reviews appropriate to its needs and resources. A useful and relevant review process is best designed by those who are to use it; modifications and refinements should be expected after initial use. Each institution is free to add, but not to delete, process and product criteria to those established for the B.C. college and institute system.

Having the individual models adhere to common criteria will provide many of the same advantages as having a single model for all institutions -- utility, comparability of results, and external credibility.

If after a trial period, having a common review model for all institutions seems to be desirable, the experience of all institutions could be pooled for development of a proposed model.

Areas to be Reviewed

It is expected that all instructional programs will be reviewed once every five years. In most institutions, this should include special educational programs, vocational programs, career-technical programs, adult basic education programs, credit-free programs and academic (university level) programs. Programs might appropriately be reviewed in clusters rather than individually. Reviews for different areas will probably be at different levels of detail at the discretion of the institution.
As well, all support functions are to be reviewed every five years; these include student services, learning resources centres, food services and housing, administrative operations, board operations, personnel policies and practices, and whatever administrative organization is responsible for delivery of credit free courses and programs - in short, all aspects of the institution's operation not covered under "Instructional Programs".

Sequencing the reviews is an institutional responsibility which would probably be influenced by internal indications of difficulties, questions of currency, or system wide concerns indicated by the Ministry of Advanced Education and Job Training or by other extra-institutional sources. Carrying out a preliminary review of all programs to determine which should first undergo rigorous review is also an acceptable way to proceed. It is advisable to lay out a five year schedule for all departments so each knows when it is to be reviewed and that everyone is being treated the same; schedules can always be revised.

While the institutions are free to choose review methods, level of detail and timing, the need for a process which provides credible assurance to all parties that the program or service is of acceptable quality and meets objectives is paramount. An important task of the External Audit Team is verification that credible and effective review processes, consistent with established criteria, are in place.

Budget and Resources Required

The reviews are an ongoing part of each institution's activities and must be planned for and funded by each institution.

A budget will be required for such items as printing, clerical help, questionnaire analysis and postage. Specific requirements will vary with the model chosen. Volunteer time from the program or function under review is more likely to be given generously if the review process is fairly speedy and if benefits to the program or service from the process are stressed.

CRITICAL DESIGN DECISIONS

Beginning with the Council of Principals' criteria and the general objective of the review process, each institution will design its own program and function review model.

There are several decisions that must be made in designing any program and function review process which will ultimately determine its acceptance and effectiveness:

- Developing a clear statement of the purposes and objectives of the review for the institution,
- Defining the scope and focus of the review,
- Determining the schedule and timing of program and function reviews,
- Determining whether the designated criteria for program and function review are adequate for the institution;
- Determining who will be involved in program review and what their roles and responsibilities will be,
- Determining how information coming from the review will be handled.

B.C. COUNCIL OF COLLEGE AND INSTITUTE PRINCIPALS

BASIC CRITERIA FOR INSTRUCTIONAL PROGRAM REVIEW

1. THE CONTENT

Each program review should evaluate in the context of overall institutional goals and objectives and provincial legislation:

a) whether there are explicit program objectives which define the range and depth of knowledge and skill required for successful completion;

b) whether the program objectives are realistic and appropriate;

c) whether there is a direct relationship between program objectives and examination/testing processes;

d) whether there is genuine student demand for the program;

e) the outcomes of the program, i.e. employability or transferability of graduates.

f) the resource implications of program objectives (i.e. human, facilities and equipment).

g) whether alternate methods of instruction or different uses of program resources could be more effective;

h) whether program costs are comparable to those of similar programs in other institutions.

2. THE PROCESSES (how the review should be conducted)

a) Sources of information and assessment should include program instructors, students, graduates, non-completers, employers, members of program advisory committees, and members of relevant external agencies not associated with program advisory committees.

b) Assessments and conclusions should be information supported.

c) Sources of information upon which assessments or conclusions are based should be clearly identified or described.

3. THE PRODUCTS

a) Clearly stated, specific recommendations for change accompanied by a rationale.

b) Written program review reports easily accessible throughout the institution.

B.C. COUNCIL OF COLLEGE AND INSTITUTE PRINCIPALS

BASIC CRITERIA FOR SUPPORT FUNCTION REVIEW

1. The Content

Each support function review should evaluate in the context of overall institutional goals and objectives and provincial legislation:

a) whether there is an explicit statement of the responsibilities (i.e. mandate, goals and objectives) of the service or administrative unit;

b) whether the stated responsibilities are adequate, realistic and appropriate;

c) to what extent the stated responsibilities are being carried out

d) the resource implications to meet stated responsibilities (i.e. people, financial, facilities, equipment);

e) whether alternate uses of resources could be more effective.

2. The Processes

a) Sources of information and assessment should include users of the services: faculty, students where appropriate, staff, community members where appropriate;

b) Sources of information upon which assessments or conclusions are based should be clearly identified or described;

c) Assessments and conclusions should be information supported.

3. The Products

a) Clearly stated, specific recommendations for change accompanied by a rationale.

b) Written review reports easily accessible throughout the institution.

GENERAL PRINCIPLES OF PROGRAM AND FUNCTION REVIEW PROCESSES

In order to have a sound, effective review process, the procedures employed should be credible, valid and fair. Credibility is achieved when the concerned parties have confidence that the procedures are appropriate and will yield meaningful results. Validity refers to the comprehensiveness or completeness of evaluation processes and to the accuracy of the judgements that result from them. Fairness requires that procedures be objective and be applied uniformly and be carried out as publicly as possible.

Criteria for reviews of programs and services should result from consensus among all who are involved in or affected by the results of the review or, at minimum, should be established by the individuals most directly associated with the program.

Because of the significant differences in mission, program objectives, clientele served and so on, individual program and function criteria are needed that reflect the character and objectives of the program or service. If review criteria are not tailored to the program or function, serious misinterpretation can result which will mislead any decisions based on the review.

Credibility of the review process can be enhanced by linking it to institutional decision-making processes and building in the potential for tangible payoffs. Program and function reviews can easily become processes unto themselves with no way to produce significant changes. In such instances, there is little reason to take reviews seriously. Receiving a clean bill of health may be viewed as a nice result (given all the bad results that were possible), but a commitment to capitalize on what was learned from a review is far more meaningful.

Proposals for operational policy and program changes are likely to be ineffective unless those affected by them understand why they are proposed, accept the process which produced them and value the anticipated benefits.

Designing evaluation processes for educational institutions presents unique challenges; definitive standards of quality of both process and product are often difficult to determine and many of the concepts involved are difficult to quantify adequately. It is important to remember that non-numerical data is not necessarily less valid than quantifiable data (in fact, the reverse is often true), and important questions should not be ignored because they do not produce quantifiable data.

No single measure is able to adequately represent the unique and distinguishing features and characteristics of the program or service being reviewed. Information about quality may be best reported in a form that, while not easily quantified, accurately portrays the complexity of the program, highlights the issues and concerns of those involved, and allows for a variety of value positions to be considered in the process of evaluating a specific program or service. It is appropriate to allow for subjective judgements.

All evaluation processes must be fair and open. The program review process does not always lead to positive conclusions from everyone's perspective, so it is important that all perspectives are carefully considered. The quickest way to undermine conclusions, even correct ones, is to provide an opportunity for the process to be attacked as unfair. Three ways to limit such attacks are to spend considerable time developing and utilizing communication channels with relevant constituencies, use of multiple data sources in making evaluative judgements, and have flexiblity and adaptiveness as basic organizing principles.

To facilitate fairness and openness, any evaluation system should have these features:

- It should have a clear set of procedures, which are publicly known and consistently applied;
- There should be provisions for confidentiality of information;
- There should be restrictions on the use of informal information;
- There should be avenues for response by those affected.

Since evaluation is intrinsically value laden, the more explicit the value positions of those involved, the more likely will be credible and informed results. Every step in evaluation requires decisions and each decision (e.g., choosing criteria, data indicators, communication strategies, and reporting procedures) has value implications to the same extent as the conclusions and recommendations. Messages about values are being sent throughout the process, and lack of attention to the consistency of these messages will be confusing and perhaps even reinforce dysfunctional behaviour.

There are many different methods of organizing program and function reviews. Probably the most useful approach to take is to start by deciding how the results will be handled, then deciding what information is needed, and finally, deciding the best way to collect the information.

Consideration of the following questions may give some direction to a group designing instructional program and support function review processes. This list is intended as a starting place only; other questions peculiar to the program or institution may need to be added, others listed may be inappropriate and should be disregarded.

1. Is the program/service doing what it was set up to do?

2. What are the target groups for this program or service? (Who benefits?)
   What do we know about them?

3. Did the target population use the service?
   Were the appropriate people served? Are there non-user groups who should be served?

4. Is there a continued need for the service or program?

5. Are its goals and objectives in harmony with those of the institution?

6. Is the mandate (written or unwritten) clearly understood by board, faculty, students, administration? Does it need to be modified to meet the present needs?

7. Are resources (staff facilities, budget) adequate to meet identified needs?
   How can resources be more effectively used?

8. Is the staff mix appropriate?

9. How do the users perceive the quality of the program or service? The quantity?

10. How do other departments affected by this program or service perceive its quality and/or quantity?

11. How does the department measure up to its own standards and to external standards? How does it compare to similar programs elsewhere?

12. Have the offerings of the program or service changed in the last five years?
    Why? How? Has it kept pace with changing times?

13. Are the hours of service adequate?

14. How off-campus students' needs handled?

15. Are institutional policies affecting the program or service appropriate?

16. Are procedures used by the area appropriate for the task?
    the clientele?

17. How often the goals and objectives for the program or service reviewed? Are they appropriate? Are they being met?

18. Are there any trends which could affect the service (e.g. changes in clientele served, changes in support for the services, etc.)?

Sources of Data

The four most common sources of data are observational study, interviews, document analysis, and questionnaires. Each has its own advantages and disadvantages.

A. Observational Study

Observational study can be an important tool for data collection, but it is time-consuming, and there are often technical problems: More data than is needed may be collected. The reliability of observation as a source of data is often questioned because it is subjective (i.e. would another unbiased observer see the same things?) Observers must be trained and/or more than one should be used.

B. Interviewing

There is a high rate of return guaranteed through interviews, but they too are time consuming. For maximum utility, they should be semi-structured and have some open ended questions (not a talking questionnaire) even though this then makes the responses more difficult to collate. If questionnaires are being used as the main instrument in the review, then it is useful to use an interview on a small sub-sample to check out the trustworthiness of the questionnaire data and to augment it. See Appendix C for more discussion.

C. Document Analysis

This is a powerful tool and frequently underused. Much information about priorities, recurring problems and communication patterns can be gained from a review of reports, committee meeting minutes, and correspondence. The periodic review process would be enhanced by a background of data regularly collected over several years, for example, on-going graduate follow-up, employer surveys, records of student demand, enrollment and attrition information, and job market indicators. Having this information should prevent unwarranted reaction to what may be temporary aberrations or encourage prompt response to significant trends. Description of student characteristics, i.e. age, years out of school, employment status, goals, collected over time, gives an institution a clearer picture of its clientele.

Looking at records, minutes and statistics is particularly useful if a review has been conducted earlier and data has been routinely kept in the interim period. If the program or service is being reviewed for the first time, a list of data which could be usefully kept for future reviews should be prepared.

D. Questionnaires

Questionnaires are a relatively inexpensive and effective way to collect a great deal of data providing the questionnaire is properly designed. Pre-testing the questionnaire is essential. Collect only simple, easy-to-get-at data by this means. Each item on the questionnaire should be examined to ensure that extraneous data is not collected. Questionnaire results should not be relied upon entirely as they often do not reveal side effects, and there is no way of knowing how carefully the respondents answered the questionnaire. Keeping the questionnaire short encourages a high participation rate. A well-designed questionnaire is also a good public relations tool: people feel that they have been involved, that they have had a chance to participate in the review and that their opinions are valued.

Using a combination of data collection methods is probably best as multiple sources of information help guard against the possibility of being misled. At the same time a plethora of data is unmanageable; the data must be relevant to the purpose and criteria of the evaluation. A lengthier discussion of methods of collecting information is in Appendix C.

MONITORING REVIEW PROCESSES

One of the constantly recurring complaints about all evaluation is that the results all too seldom make a difference. The program and function review process in B.C. colleges and institutes must be useful. Utilization is best achieved if recommendations are specific with a clearly stated rationale. They must also be realistic. It would be useful if the review process had a check-up clause which requires a report on the status of recommendations one year after the review. Appraising the effectiveness of the review process is an important task of the Institutional Self-study and the External Audit Team.

In addition, institutions must ensure that internal procedures are established to monitor what is being accomplished. Is the review process performing in a satisfactory way? What purposes are being achieved? What evidence exists to suggest that the institution and its programs and services are benefitting from it?

Review impact can be measured in two ways. One is the amount of change that occurs through the institutional decision-making process as a result of the reviews. The other is the amount of change induced indirectly through the influence of the review process on board, faculty, staff and administrators. The relationship between changes and review results may be either direct or indirect. Those evaluating the review process should be alerted to the importance of judging a system not only on the basis of the immediate and the observable, but also on the basis of the delayed, the unintended, and the obscured.

RESOURCES FOR DEVELOPING REVIEW PROCESSES

Samples of a variety of models and questionnaires used at other institutions, assorted articles on different aspects of evaluation, and catalogues of materials available from such organizations as the American College Testing program, Educational Testing Service, Higher Education Management Institute, National Centre for Higher Education Management Systems, and Sage Publications are available from the Institutional Evaluation Office. The annotated bibliography in this manual (Appendix D) has other references, many available through the B.C. College & Institute library system or from the Instututional Evaluation Office.

INSTITUTIONAL EVALUATION PROCESS
for
BRITISH COLUMBIA COLLEGES AND INSTITUTES

APPENDICES

INSTITUTIONAL EVALUATION PROCESS

for

BRITISH COLUMBIA COLLEGES AND INSTITUTES

POLICIES AND PROCEDURES MANUAL

APPENDICES

A	-	Alternate Approaches to Institutional Self-studies	A 1 - 5
B	-	Sample Terms of Reference for Subcommittees	B 1 - 11
C	-	Methods of Collecting Information	C 1 - 10
D	-	Annotated Bibliography	D 1 - 4
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INSTITUTIONAL EVALUATION PROCESS

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BRITISH COLUMBIA COLLEGES AND INSTITUTES

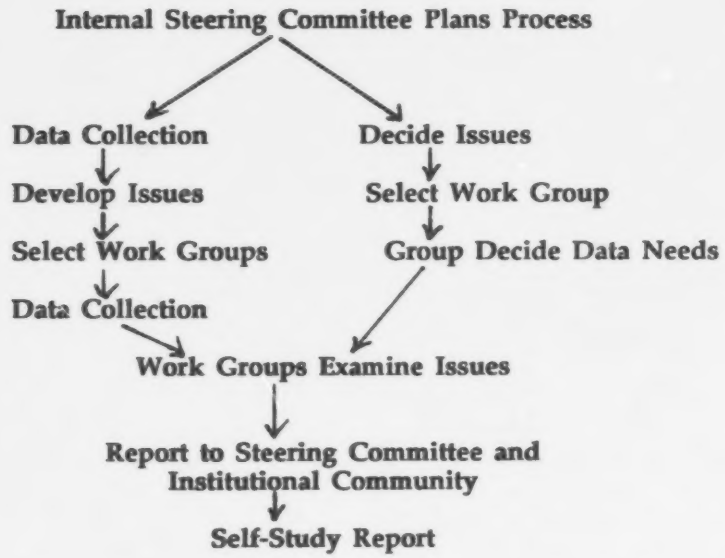
APPENDIX A

ALTERNATE APPROACHES TO INSTITUTIONAL SELF-STUDIES

The timeline in the Institutional Self-study Process Manual shows one approach to organizing an institutional self-study, the one shown on the left hand side of the chart below. The discretionary issues or topics around which the institutional self-study is organized can be determined either through a broad and detailed canvass of the entire institution and its external community, e.g. CAPRI-West, or by using a "quick and dirty" survey of college personnel that asks respondents to state what they think are the three or four major strengths, major challenges and major weaknesses of the institution. If the latter is used, then detailed data collection must be done later to give the work groups the necessary information to work with. This extra loop is not shown on this chart.

ALTERNATE APPROACHES

INSTITUTIONAL SELF-STUDY PROCESS

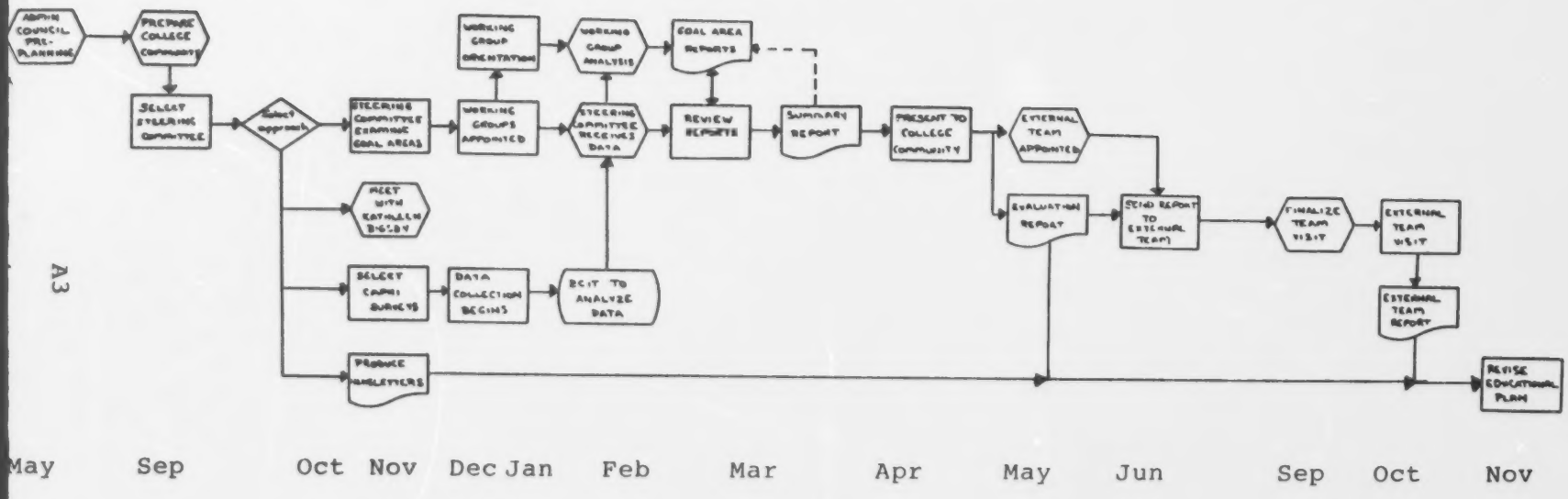


As an alternative approach, some colleges have chosen to use their goal statements as the organizers of the self-study -- the goals become the topics. This is the process shown on the right hand side of the chart and on the timeline which follows. Other pre-selected topics could also be used; for example, the major subsystems of an educational organization listed at the end of this section. Another alternative might be to use Peters and Waterman's characteristics of excellent organizations as a framework. These also are listed at the end of this section.
With either approach, work groups must be struck to appraise the effectiveness of the college's instructional program review process and its support function review process.

If pre-selected topics are the choice, consider carefully the collection of data; if you wait until the work groups are operational and have decided what information they need to work with, there will then be a hiatus while the information is collected, and group members' interest may wane or opinions made in the absence of data may solidify. It is never advisable to have work groups design and administer questionnaires. Collection of data should always be controlled and coordinated by the Steering Committee.

Whatever method is selected, there are a couple of cautions: keep the number of topics small -- between five and eight. The Self-study Steering Committee may have to list the next highest priority topics in its report as being in need of study as soon as possible, but it is a mistake to try to do too much at once. There is neither the time nor the human resources available to do justice to them, and the number of recommended changes would be impossible for the institution to implement all at one time anyway.

The second caution is that under no circumstances is it advisable to organize an institutional self-study along existing department or division lines. For it to serve its main purposes, an institutional self-study must bring an institution-wide persective to issues which affect the entire institution.



A3

Institutional Evaluation 1984-5

Major Subsections of an Educational Institution:

Primary Function

- what are the goals of the institution?
- are they clear and well know?
- are activities directed towards achievement of these goals?
- identify strengths and weaknesses

Support Services

- what services are in place to support achievement of the institution's goal?
- comment on quality and quantity
- identify strengths and weaknesses

Resource Acquisition and Distribution

- how does the organization secure and distribute the financial and personal resources necessary for its continued operation?
- identity strengths and weakness

Adaptation and Improvement

- describe the organization's ability to respond rapidly to changes in the environment
- describe the organization's capability for detecting and improving its internal functioning
- identify strengths and weaknesses

System Maintenance

- what measures are taken to develop and maintain the identity and uiqueness of the organization and to foster a sense of belonging and commitment among members
- identify strengths and weaknesses

Community Relations

- describe the means used by the organization to develop and maintain relations with those groups outside it which have an impact on it
- identify strengths and weaknesses

Governance and Management

- describe the systems in place in the organization which supply the coordination, set the goals and objectives, conduct the evaluation by which success or failure may be judged and provide the links which bind the various sub systems
- identify strengths and weaknesses

borrowed from R. Bryce, formerly University of Alberta, derived from Katz and Kahn, The Social Psychology of Organizations, 1967.

Excellence Criteria

As outlined by Peters and Waterman, In Search of Excellence, 1982:

1. A bias for action.
2. Closeness to consumer: awareness and responsiveness.
3. Autonomy and Entrepreneurship: promotion of innovation and risk-taking.
4. Productivity through people: an employee orientation.
5. Hands-on, value driven: a clearly articulated philosophy and set of values which capture the enthusiasm of all employees.
6. Sticking to the knitting: clearly identifying the institution's strengths and building on these.
7. Simple form, lean staff: uncomplicated structures.
8. Simultaneous loose-tight properties: has core values which everyone must subscribe to coupled with automony in decision making and action as long as behaviour is in accord with institutional values.

INSTITUTIONAL EVALUATION PROCESS

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APPENDIX B

SAMPLE TERMS OF REFERENCE TO SUBCOMMITTEES

SAMPLE #1

TO: (list members)
FROM: Institutional Self-study Steering Committee
RE: (clearly set out issue to be examined)

This self-study subcommittee is responsible for fully investigating this issue and answering the following questions:

1. is there a problem which is remediable? needs remediation?

2. if not, state why

3. if "yes" list steps which, if taken, would remediate: considering carefully their implications - i.e. cost, personnel, facilities. Phrase these in very specific terms: what is to be done, when and by whom? Give alternates if they exist.

This issue has been referred for in-depth study because ... (give reasons, include specific references to data).

Should you need further data, please come to the Self-Study Steering Committee/Coordinator.

Evaluations and statements of judgement should be fully supported by data and argument. If any required information is not available, or is very difficult to obtain, this fact should be noted.

The report of this subcommittee must be concise and presented in the following format:

- brief statement of subject investigated
- brief statement of committee's methods of investigation and data used
- conclusions and/or recommendations with a rationale for each (avoid those which cost money unless you can suggest a means for getting it)

(1 - continued)

Please have a preliminary report accompanied by relevant supporting document document or references, prepared by _____(date)_____ for discussion with the Steering Committee. It will also be discussed at meetings of faculty, staff, students and interested others and changes or additions may be suggested.

If you have any questions about your task, please do not hesitate to call me.

Thank you for your help.

_____
Self-Study Coordinator

SAMPLE #2

The Institutional Evaluation is going to be carried out by 8 working committees , each responsible for assessing the achievement of a specific college goal.

*** Each committee has 8 to 12 members drawn from across the college community. The Steering Committee has attempted to ensure that commiittees are representative of the many different constituencies of the College. If a committee would like more members, the request can be made through the Steering Committee member working with it.**

*** The committee will select a chairperson and assign to someone the responsiblilty of preparing the final report to be submitted to the Steering Committee.**

*** The meeting schedule and approach to be used will be determined by the committee at their first meeting.**

*** The working committee report is to be completed by February 28th.**

*** A rormat for the report will be provided by the Steering Committee early in January; however, as a general guide, at this stage we are looking at a 5 - 10 page summary report that does not contain lengthy description. Rather, the report will focus on key issues and important strengths or opportunities for improvement. (Any descriptions of programs, facilities, procedures, services, etc. that can be found in calendars, brochures, reports, planning documents, manuals and the like can be referenced -- our Evaluation Report should not contain that sort of thing at all.)**

*** Each committee will have a member of the Steering Committee serving on it. This person will serve as the contact between the working committee and the Steering Committee and will function primarily as a resoruces person.**

*** Committee members will begin with a substantial package of information consisting of the apropriate section of the Educational Plan, material that describes current college practice, and some suggestions from the Steering Committee as to key issues that need to be addressed. The results of the questionnaires will, we hope, be available toward the end of January. Armed with this, the committees should be able to get down to review and analysis very quickly.**

*** If gaps exist in the information provided, committees are encouraged to let the Steering Committee representative know what additional material is required - or, if it is something that can be handled directly, to take whatever action seems most appropriate in order to get the answers.**

(2 - continued)

IV. Resources

There is a small budget for the Study that covers print and duplicating costs and the tabulation of survey results. Secretarial support is being provided by a range of divisions; everything will be put in the word processor so that editing is reasonably efficient.

Room 322 in the Paul Building has been set aside as "centre" for the Self Study. Here we will store all back up materials. Many of these materials are too bulky to reproduce in large numbers (procedures manuals, job descriptions, contracts -- that sort of thing) but various committees will require access to them.

Mettings can be booked through Dale (202). There are other rooms available such as the Board Room, the meeting rooms in Ewing and Fisher, etc., but whenever possible it is probably advisable to use Paul 332 because of the availability of resource materials.

(2 - continued)

(2 - continued)

Dear

The Steering Committee would like to review with you your draft report on Goal Area ___. The main purpose of this review is to give you an opportunity to point out particular features of your evaluation report and to give us a chance to make suggestions or raise any questions we may have. The review may better understanding of this particular feature of the College's operation and help the Steering Committee in its preparation of the final report.

Over the next six weeks, the Steering Committee will meet with each committee and go through the process of fine tuning the nene reports. During this process we will also be making decisions as to what form the summary report should take.

On April 24-25 we will hold the public forums and involve as many of the college community as we can in public discussion/ dialogue/debate of the findings of the committees.

During May/June the results of the entire process will be pulled together in a summary Evaluation Report and the backup reports and materials organized in preparation for the External Team's review.

Because of the impossibility of finding a time convenient to all involved for these 9 meetings, we are going to schedule a specific time and ask that you make every effort to attend.

Your meeting with the Steering Committee is to be held:

Date	Time	Location

Please let your committee chairperson know if it is impossible for you to attend.

Thank you,

Chairman
Steering Committee

SAMPLE #3

DUTIES OF WORKING COMMITTEE ON EVALUATION PROCESSES

The following suggestions are intended to serve only as a starting point and are not intended to limit your investigation.

- Examine the program, staff, and faculty evaluation practices to pinpoint their strengths and weaknesses. Recommend improved methods of implementing these evaluations.
- Determine how an evaluation of services could be implemented.
- Determine how evaluations of both administration and the College Board could be implemented.
- Explore the implications of not having a Faculty Standards Committee to review the qualifications of instructors.
- Define "under the auspices of" as it relates to an under-qualified instructor working "under the auspices of" a qualified instructor. What are defensible procedures?

RESOURCES

- employees and students of the College
- applicable Board Policies
- applicable administration guidelines
- current procedures
- CAPRI questionnaire returns
- other institutions' Evaluation Reports
- the Open Forums

SUGGESTED METHODS OF GATHERING INFORMATION

- The committee should not overlook the resource sitting around the table. The insights of the members of the committee are fully valid.
- In addition to your own stores of knowledge and experience, there are vast resources within our institution waiting to be tapped. You may schedule interviews. You may chat informally. Over the next few weeks you may live and breathe evaluation processes.

(2 - continued)

METHODS OF GATHERING INFORMATION continued

- A committee review of applicable Board Policies and administration guidelines should give you the current framework within which we are working or failing to work.

- The computerized CAPRI results to be provided by the Steering Committee should be used to show the trends in thinking on evaluation processes.

- Other institutions' Evaluation Reports should be used for guidance only. The Steering Committee has several on file.

- Finally, the Open Forum should be used to its greatest potential.

RECOMMENDATIONS

- Economy of words is a viture.

- Do not make undocumented recommendations.

- Recommendations should direct us to ways of improving our use of resources at hand and should not be too strongly related to increased expenditures.

- Some changes may depend on obtaining increased funding. These must be clearly justifiable.

- Please keep the number of recommendations under twenty-five.

- Recommendations should be specific:

  e.g. not acceptable
  The Board should review its policy regarding personal counselling.
  e.g. acceptable
  We recommend that the Board policy prohibit counselling by College employees.

DOCUMENTATION OF RECOMMENDATIONS

Documentation should consist of references to CAPRI results, interviews, current policies and guidelines, or committee findings from any other relevant source.

NOTE to the Chairperson. Please ensure that Lyne Powell as well as your committee members' supervisors have prior knowledge of meeting schedules.

SAMPLE #4

The Working Groups will consist of volunteers assigned by the Steering Committee. They will each elect a Chairmen from among their number.

The Chairman will be responsible for chairing meetings, setting agendas, writing the group's report and recommendations (maximum: 5 pages) within the deadlines, and participating in a public discussion of the Group reports.

Working Groups may request additional members from the College community if they so choose; they may also invite outside consultants and/or advisors to assist them if they so desire.

The Steering Committee contact person will be responsible for helping the group get started, answering any initial questions, and monitoring the progress of the group.

RESOURCES FOR WORKING GROUPS

Each of the Working Group will be given four copies of the following documents ...

1. CAPRI-West survey - closed questions percentages of Agree/Disagree responses from the various categories of respondents.

2. CAPRI-West survey - responses to open-ended questions from the various categories of respondents.

3. CAPRI-West survey - community telephone survey results - by school district.

You will remember that the CAPRI-West Surveys were conducted last Spring. Besides the documents above, Working Groups should feel free to call on

a. their Steering Committee Liaision person

b. the Research & Planning Officer

(4 - continued)

SUGGESTIONS FOR WORKING GROUPS:

1. STAY FOCUSSED

Remember the area for which you are responsible and stick to it. If you feel the steering Committee list is too broad, then specify the problem(s) you want to address. Be sure to inform the Steering Committee.

2. BE REALISTIC AND MODEST IN YOUR SCOPE

You have a limited amount of time and other resources and the problems you are addressing are probably entrenched. Don't expect to be able to solve all the problems overnight.

3. ASSIGN SPECIFIC TASKS OF REASONABLE SIZE TO EVERYONE

Don't expect anyone to be able to commit more than about 40 hours to the task. More is not always better.

4. PRODUCE PRACTICAL AND MEASURABLE RECOMMENDATIONS

State the recommendations in terms that will enable you to measure their successful implementation.

5. BE PREPARED TO DEFEND YOUR ANALYSIS & JUSTIFY YOUR RECOMMENDATIONS TO YOUR PEERS

There will be an open meeting of the College Community to discuss the Draft Report and Recommendations.

6. REALIZE THAT THE PROCESS IS USUALLY MORE IMPORTANT THAN THE PUBLISHED REPORT

Involving a cross-section of concerned and intelligent members of the College community in addressing major problems together has benefits beyond merely producing a report. There should be such side-benefits as understanding other points of view, appreciating the many fine qualities of fellow employees, etc. It is unfortunate but true that self-interest and semi-isolation can often narrow our views of reality, including our appraisal of other categories of fellow College employees.

PROJECTED SCHEDULE

DATE	ACTIVITY
Nov./86 - Jan./87	Representative Steering Committee reconvenes and selects a few major focus issues from the results of the CAPRI-WEST Survey. Contact person selected for each Working Group.
Feb./87	Working Groups formed to address each major issue in greater detail.
Mar./87	Working Groups briefed on assignments. Working Groups select chairpersons and plan strategies.
May/87	Interviewing and research. Working groups submit preliminary brief reports (5-7 pages) including recommendations to Steering Committee.
15 May/87	Working groups submit final reports. College-wide distribution of reports.
12 June/87	Open meeting to discuss Working Group reports.
Sept./87	Steering Committee chairperson writes a Final report (30 pages) based on Working Group reports and subsequent College-wide response.
Nov./87	External Team Visit.

(4 - continued)

GROUP 1. SERVICES TO AND SUPPORT FOR STUDENTS

Group Members:

Steering Committee Contact:

Group Tasks:
* To identify gaps, problems and inadequacies in services and support to students.
* To identify priorities for attention and action.
* To make recommendations for addressing the problems identified.
* To make recommendations to foster a sense of purpose, excitement and "community" among students.
* To make recommendations to improve communications between the College and students AND among students themselves.

GROUP 2. COOPERATION ACROSS THE COLLEGE

Group Members:

Steering Committee contact:

Group tasks:
To focus on formal structure, procedures and informal mechanisms and identify and study the following ...

* problems resulting from lack of cooperation,
* barriers to cooperation,
* opportunities for cooperation,
* to make recommendations regarding the above to comment on the Associate Deans' draft document on cooperative planning processes
* to make recommendations on appropriate representation in decision-making and planning
* to make recommendations to improve internal communications between sectors of the college (including Board)

INSTITUTION EVALUATION PROCESS

for

BRITISH COLUMBIA COLLEGES AND INSTITUTES

APPENDIX C

METHODS OF COLLECTING INFORMATION

Any institutional self-study, program or support service review must be driven and supported by information about the perceptions, concerns and behaviours of different college constituencies. The widely distributed questionnaire is the most commonly used method, but there are other options for collecting information which should also be given consideration; questionnaires are not always the most appropriate tool.

Start by carefully considering what you want to know. What is your question? Who can best answer it? What is the best way to reach those respondents and get from them the information you need? What are you going to do with the information you collect? How will you handle it? Who will see it? What do you expect them to do with it?

A basic rule of any research is to eliminate any data which are redundant, do not discriminate, or are not likely to be analyzed. Remember also as you plan your information collection, that a multimethod approach increases the validity and reliability of evaluation data; each method gives depth to the others and increases understanding of the subject.

Notes to all Self-Report Measures

Many books have been written on questionaire design, on sampling and distribution techniques, and on what to do with all the responses once you get them back. Designing surveys and questionnaires is not a simple business. Be very careful!

Here are a few tips:

- Avoid asking demographic questions first - when you do, use standard age-categories, origin etc. so you can integrate results with other data bases.

- Before asking attitude questions about issues or persons, ask knowledge questions to screen out respondents who lack sufficient information.

- Don't ask respondents for information they don't have; but if you must, make it clear that it is acceptable not to know.

- Using questions which have been asked before has advantages:
  a) most of the bugs should have been ironed out of the wording; and
  b) you will have comparative data from other time periods or sample groups.

- If using open ended questions, particularly with a large group, consider in advance how you will code the responses so you can be sure the results will be usable.

- If you do not have the resources to pilot test your survey instrument, don't do the study.

- Avoid double-barreled and one-and-a-half-barreled questions that introduce multiple concepts and do not have a single answer. Where possible, separate issues from individuals or sources connected with the issues.

- Recognize that the presence or absence of an explicitly stated alternative can have dramatic effects on response. Specification of alternatives will standardize the question for respondents.

- If general and specific attitude questions are related, ask the general question first.

- When asking questions of differing degrees of popularity involving the same underlying value, ask the least popular items first.

Methods for Collecting Information

Method 1: Examine Records and Documents

	Advantages	Disadvantages	Notes
a. Records are systematic accounts of regular occurrences consisting of such things as enrollment reports, sign-in sheets, library checkout records, counselor files, etc. Special records can be kept for the evaluation: e.g. questions asked at info centre, registration office, logging documents in and out to gauge response time.	- Records kept for purposes other than the evaluation can be a source of data gathered without additional demands on people's time and energies. - Records are viewed as objective and therefore credible. - Records set down events when they occur rather than in retrospect. This also increases credibility. - Usually a persisting source - give trend data.	- Records may be incomplete or inaccurate; check. - The process of examining them and extracting relevant information can be time-consuming. - There may be ethical or legal constraints involved in examination of certain kinds of records, e.g. counselor files. - Asking people to keep records specifically for the evaluation may be seen as burdensome. - Changes in record keeping procedures can make data non-comparable.	- Records allow reanalysis, metanalysis and secondary analysis of previously collected data. - Definitions and categories may not be appropriate for evaluation purposes. - Records may be in a form that is inordinately difficult to use for research.
b. Documents are usually written reports of activities, plans or positions e.g. minutes of meetings, letters and memos, reports, journals, newspaper articles, position	- Give background-frequently a behind-the-scenes look at aspects of a program not directly observable: history, values. - not prepared for evaluation, typical and not retrospective. - using them is not intrusive.	- May be incomplete, uneven in quality. - May be difficult to integrate or aggregate. - Analysis sometimes heavily inferential.	- Documents require content analysis - making inferences by objectively and systematically identifying specified characteristics according to clearly explicated rules.

Method 3: use Self-Report Measures

Questionnaires are instruments that present information to a respondent in writing or through the use of pictures and then require a written response - a check, a circle, a word, a sentence, or several sentences.

Advantages

- Questionnaires provide the answers to a variety of questions.
- They can be answered anonymously.
- They allow the respondent time to think before responding.
- They can be given to many people, at a distant sites, simultaneously.
- They impose uniformity on the information obtained by asking all respondents the same things.

Disadvantages

- They do not provide the flexibility of interviews.
- People are often better able to express themselves orally than in writing.
- Persuading people to complete and return questionnaires is sometimes difficult.
- Not good for open-ended questions.
- No opportunity for probing.

Notes

- Recognize respondent's time constraints; ask only what you need to know from each group.
- If confidentiality is promised, procedures for distribution and collection should reflect this; ask for minimum personal information. If an identification code is used, explain why and how it will be handled.
- Questionnaires should look clean, professional with clear, easy-to-follow instructions (always pilot test).
- Distribute when other matters are not pressing and when no other questionnaires are being or have recently been distributed.
- Be sure characteristics of respondents match characteristics of total population.

Method 2: Conduct Observations

	Advantages	Disadvantages	Notes
Observation require that one or more observers devote all their attention to the behavior in a natural setting and a prescribed time period. In some cases, an observer may be given detailed guidelines about who or what to observe, when and for how long, and the methods of recording the information. An instrument to record this kind of would likely be formatted as a questionnaire or tally sheet. An observer may also be sent into a setting, e.g. cafeteria, without detailed guidelines, and simply be asked to write a responsive/naturalistic account of events which occurred within the prescribed time period.	- Observations can be highly credible when seen as the report of what actually took place presented by disinterested outsider(s). - Observers provide a point of view different from that of people closely connected with the program. - Provides the broadest range of inputs which maximize discovery and description. - Subjects do not have to be involved or even aware of observation. - Allows assessment of non-verbal behaviour.	- The presence of observers may alter what takes place. - Time is needed to develop the observation instrument and train observers if the observation is not carefully controlled. - Time is needed to conduct sufficient numbers of observations. Sample is usually limited. - The perceptions of the observer are limited and therefore selected. - Not readily adaptable to large complex settings.	- For maximun reliability, observations should be recorded immediately; if they lend themselves to easy classification, they can be coded on the spot. - Remember you see only behaviour - thoughts and feelings are inferred.

Method 3: use Self-Report Measures

a) Mailed Questionnaires:

Advantages

- Survey people in many locations.
- People can respond at their convenience.

Disadvantages

- Number and difficulty of open-ended questions must be limited.
- Not advisable to use branching questions/skip instructions.
- Should be brief.
- Return rates tend to be low (25%).
- Mailing (out & return) costs.
- Depend entirely on questions and written instructions to elicit accurate responses and motivate participation.

Notes

- include a cover letter- explains importance of obtaining respondents' views; contains endorsation by someone respected; stresses benefit to respondent; details reasons for study and how study data will be used; states who to contact if respondent has questions; thanks respondent.
- Follow-up is essential to raise rate to its maximum (some research suggests that each follow-up contact increases reponse by 7 - 10%).
- Willingness to respond increases with involvement with institution asking.

b) Group Administered Questionnaires

- Capture already assembled groups.
- Opportunity to give oral instructions and answer questions.
- Can be longer than mailed questions.
- Professional appearance less important.

- be aware that group has another purpose for assembling and may resent this use of time.

- Stress importance of survey to the group.

Method 3: use Self-Report Measures

	Advantages	Disadvantages	Notes
c) Telephone Survey: have telephone interviewers provided with a list of people to call, clear instructions for how to introduce selves and handle alternative responses and how to record the information provided.	Relatively inexpensive. - Fairly quick. - Allows greater use of branching questions/skip instructions than self-administered. - Usually higher response than mail. - Allows tracing of potential respondents (e.g. former students). - Allows screening to be sure appropriate person is responding (e.g. employers) - Appearance is not important.	- Does not allow reference to records. - Does not allow respondents to reflect. - Allows only a limited number of alternative responses (3 - 4 maximum.) - Necessary to tra telephone interviewers.	- Can use either standardized format or open interview - Generally, no differences have been observed in answers given to some questions asked by mail, phone or face-to-face. - Numerical scales can be used. - Generally best conducted in the evening. - Can be used to pick up non-respondents to mailed questionnaire.
d) Combination mail/ First mail material to respondents with a note saying when they will be phoned - then proceed as above.	- Allows respondents to check records and consult with others. - Respondents can reflect on question at their convenience. - Allows you to use visual material. - Allows you to ask for complex information.	- Adds to expense and time.	- Useful with employers or receiving institutions.

Method 3: use Self-Report Measures

Interviews	Advantages	Disadvantages	Notes
e. Interviews involve a face-to-face meeting between two (or more) persons in which a respondent answers questions posed by an interviewer. The respondent's answers usually recorded in some way by the interviewer during the interview, but a summary of the responses is generally completed afterwards.	- Interviews can be used to obtain information from people who cannot read and from non-native speakers who might have difficulties with the wordings of written questions. - Interviews permit flexibility. They allow the interviewer to pursue unanticipated lines of inquiry. - Can be longer than written questionnaires. - Allows exploration of motives and perception.	- Interviewing is time consuming. - Sometimes the interviewer can unduly influence the responses of the interviewee. - Data affected by emotional state of interviewee at the time.	- Can be used as a follow-up to widely distributed questionnaires. - Can select key informants or a random sample.

Types of Interviews:

i) Conversational: Questions emerge from the immediate context and are asked in the natural course of conversation; there is no predetermination of question topics or wording. ii) Interview guide: Topics and issues to be covered are specified in advance, interviewer decides sequence and wording of questions during the interview. iii) Standardized open-ended: Exact wording and sequence of questions are determined in advance and are the same for all interviewees.	- Increases the salience and relevance of questions: interviews are built on observations; the interviews can be matched to individuals and circumstances. - Increased comprehensiveness of the data; data collection somewhat systematic for each respondent. Interviews remain fairly conversational and situational. - Increased comparability of responses: data are complete for each person on the topics addressed in the interview. Reduces interviewer effects and bias when several interviewers are used. Permits decision makers to see and review the instrumentation used in the evaluation. Facilitates organizing data analysis.	- Different information collected from different questions. Data organization and analysis can be quite difficult. - Important and salient topics may be inadvertently omitted. Interviewer flexibility in sequencing and wording questions can result in substantially different responses, thus reducing their comparability - Little flexibility in relating the interview to particualr individuals and circumstances: standardized wording of questions may constrain and limit naturalness and relevance of questions and answers.

Types of Interviews:	Advantages	Disadvantages	Notes
iv) Closed quantitative questions and response categories are determined in advance. Respondent chooses from among fixed responses.	Data analysis is simple: responses can be directly compared and easily aggregated: many questions can be asked in a short time.	Respondents must fit their experience and feelings into researcher's categories: may be perceived as impersonal, irrelevant and mechanistic. Can distort what respondents really mean or experienced by so completely limiting their response choice.	

Method 4: use Group Processes

a) Small Group Feedback: a trained facilitator meets with a group (5 - 6) and collects data using 3 form questions: 1. What do you feel college is doing well? 2. What do you feel college is not doing well? 3. What could you recommend to remedy situations caused in 2? Facilitator attempts to determine degree of consensus in responses - verbatim comments are written.	- Begins on positive note. - Questions are broad enough to invite response in numerous areas. - Produces constructive suggestions for improvements. - Good for groups who don't like reading and writing. - Group presence give security.	- Requires a trained facilitator. - Takes 1 - 2 hours per group. - Data analysis may be lengthy process.	- If group is large, it can be broken into small units with a spokesman for each reporting back to the whole. - Good for using with natural work groups.
b) Nominal Group Technique: a question is posed to the group and each individual is asked to generate as many responses as possible. All ideas are recorded for everyone to see; duplicates are removed. Each member then votes on the five most important ideas and a final list of 8 - 10 items emerges.	- Everyone thinks about the question and is involved in priority setting. - Encourages communication. - Produces more and better ideas than individual methods. - It is enjoyable.	- As above.	- As Above.
c) Focus Group: 10 - 12 guests are asked to lunch, breakfast, etc - after it, they are asked what could improve service - what they do or don't like about the college. All comments are taped for later analysis.	- Tapes can be used with relevant inside groups to show client concerns first hand. - Good P.R. vehicle. - Group atmosphere stimulates range of comments.	- Time-consuming. - Costly.	- Particularly useful with "client" group. - Keep each group homogeneou - Keep noise level minimal f good tape recoding. - Allow only 1 college perso so participants comment fr

Designing a random sample:

Size :

- make the sample as large as you can afford: a large sample best represents the whole group; the smaller the sample the less it will accurately reflect the whole.
- a sample size of 30 is generally considered adequate for gaining a stable measure.

Representation:

- whatever the size, care must be taken to ensure that the sample actually represents the whole population; it may be necessary to stratify the sample, i.e. divide total into groups according to same salient criteria and then select randomly from within each group.

Table for Determining Sample Size from a Given Population*

N	s	N	s	N	s
10	10	260	155	1100	285
20	19	280	162	1200	291
30	28	300	169	1500	306
40	36	340	181	2000	322
50	44	380	191	2500	333
60	52	420	201	3000	341
70	59	460	210	3500	346
80	66	500	217	4000	351
90	73	550	228	4500	354
100	80	600	234	5000	357
120	92	650	242	7000	364
140	103	700	248	8000	367
160	113	750	254	9000	368
180	123	800	260	10000	370
200	133	900	269	15000	375
220	140	1000	278	20000	377
240	148				

NOTE: N is population size
s is sample size

* Adapted from Krijcie, R. V., & Morgan, D. W. Determining sample size for research activities. Educational and Psychological Measurement, 1970, 30, 607-610. This table was based on a formula published by the research division of the National Education Association.

INSTITUTIONAL EVALUATION PROCESS

for

BRITISH COLUMBIA COLLEGES AND INSTITUTES

APPENDIX D

ANNOTATED BIBLIOGRAPHY

Note: All the books listed below can be borrowed from the Institutional Evaluation Office. Also available are a large number of journal articles on a range of evaluation topics.

General References:

Self-Study Processes: A Guide for Post Secondary Institutions, 2nd edition, H.R. Kells, Collier-MacMillan Canada, 1983.

A practical guide to self-study clearly presented and well documented. A "must read" for Steering Committee members.

Has references for each chapter and a list of major sources of research/evaluation guides and instruments. (3rd edition to be published fall, 1988.)

Handbook of Academic Evaluation, Paul Dressel, Jossey-Bass, 1978. An excellent general book on all facets of assessment in higher education.
See especially Chapter 17 "Institutional Self-Study" and Epiloque "Costs Decisions and Politics". Extensive bibliography.

The Assessment of College Performance, Richard T. Miller, Jossey-Bass, 1980. A handbook of techniques and measures for institutional self-evaluation. Has excellent chapter on "Implementing Comprehensive Institutional Evaluation" and a particularly useful annotated bibliography.

Creative Evaluation, Michael Patton, Sage Press, 1981. Provides a variety of practical approaches to evaluation. The basic premise of the book is that the focus of any evaluation should be toward utility.

Handbook of Vocational Education Evaluation, Theodore Abramson, Carol Kehr Tittle, Lee Cohen, ed., Sage Publications, 1979. Series of chapters examining evaluation issues in context of vocational education.

Effective Evaluation, Egan Guba and Yvonna Lincoln, Jossey-Bass, 1981. Guidance in use of methods for assessing quality and productive use of evaluation results particularly useful section in interviewing and using document and records.

References for Instructional Program & Support Function Review

Information in Student Outcomes, Ewell, Peter T., NCHEMS, 1983. Discussion of how to build student - outcomes data base and how to integrate it with institutional decision-making has extensive bibliography.

Student Outcomes Assessment: What Institutions Stands to Gain, Halpern, Daiane F., ed, Jossey-Bass, 1987 (H.E. #59).*

Evaluating Administrative Services and Programs, Wergin, John F., and Larry Braskamp, ed., Jossey-Bass, 1987 (H.E. #56).*

Determining the Effectiveness of Campus Services, B. Scott, Robert A., ed., Jossey-Bass, 1984 (IR #41).*

Academic Program Reviews, Conrad, Clifton and Richard Wilson, ASHE-ERIC, Higher Education Report #5, 1985.

Evaluating Program Effectiveness, Gary Hanson, ed., Jossey-Bass, 1978. (S.S.#1)*

Assessing Educational Outcomes, Peter Ewell, ed., Jossey-Bass, 1985. (I.R. #47)*

Appraising Administrative Operations: A Guide for Universities and Colleges, G. Griffin and D.R. Burks, University of California Statewide Administration, Berkeley, 1976. Practical and concise.

Evaluation Research: Methods for Assessing Program Effectiveness, Carol Weiss, Prentice-Hall, 1972. Clear, thorough and practical guide to action-oriented evaluation.

Program Evaluation Kit, Lynn L. Morris, ed. Sage Publications, 1978 (Copyright by the Regents of the University of California). A series of 8 well designed books - practical, very thorough guides for evaluators of educational programs:

Evaluators Handbook
How to Deal with Goals and Objectives
How to Design a Program Evaluation
How to Measure Program Implementation
How to Measure Achievement
How to Measure Attitudes
How to Calculate Statistics
How to Present an Evaluation Report

Evaluating Institutions for Accountability, Bowen, Howard, ed., Jossey-Bass, 1974. (I.R. #1)*

Organization Development: Change Strategies, Hammons, James, ed., Jossey-Bass, 1982 (C.C. #37)*

Increasing the Use of Institutional Research, Lindquist, Jack, ed., Jossey-Bass, 1981. (I.R. #32)*

Institutional Assessment for Self-Improvement, Miller, Richard, ed., Jossey-Bass, 1981 (I.R. #29)*

Using Research for Strategic Planning, Uhl, Norman, ed., Jossey-Bass, 1983 (IR #37)*

References for Methods of Collecting Information

Making Effective Use of Mailed Questionnaires, Daniel C. Lockhart, ed., Jossey-Bass, San Francisco 1984 (New Dir for Prog Eval # 21).

Qualitative Evaluation Methods, Michael Patton, Sage Publications, Beverly Hills, 1980. Excellent section on interviewing.

Asking Questions, A Practical Guide to Questionnaire Design, Seymour Sudman and Norman Bradburn, Jossey-Bass, San Francisco, 1985. Extremely detailed.

A General Guide to Survey Design, Greg Tyndall, Independent Research and Management Consultant, 1982. A clear guide to questionnaire design, administration, analysis and interpretation for those with little or no background. Available from Greg Tyndell, Psychology Department, College of New Caledonia ($8).

References for Planning

Using Research for Strategic Planning, Uhl, Norman P., ed., Jossey-Bass, San Francisco, 1983.(I.R. #37)*

Mission Review: Foundation for Strategic Planning, Caruthers, J. Kant & Gary B. Lott, NCHEMS, 1981.

Strategic Planning for Public and Nonprofit Organizations, Bryson, John, Jossey-Bass, 1988.

Sources of Relevant Instruments and Materials:

Educational Testing Service - College and University Programs has instruments and supporting publications for reviewing goals and planning, college environment, student attitudes and concerns and faculty and course evaluation. Many of the instruments have Canadian and/or college forms.

National Centre for Higher Education Management Systems has developed Student Outcome Information Service with questionnaires, a Manual for Conducting Student Attrition Studies, a Handbook for conducting Community Impact Studies, Measures of Institutional Goal Achievement and many other publications.

* Jossey-Bass New Direction Paperback Sourcebooks each contain several articles on the topic by different authors.

APPENDIX E

Copies of the CAPRI-WEST Questionaires and Analysis are available through:

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